

NATIONAL REGISTER BULLETIN

Technical information on comprehensive planning, survey of cultural resources, and registration in the National Register of Historic Places.



U.S. Department of the Interior
National Park Service
Interagency Resources Division

PUBLIC DOCUMENTS
DEPOSITORY ITEM

JAN 13 1987

CLEMSON
LIBRARY

Guidelines For Local Surveys:
A Basis For Preservation Planning

As the Nation's principal conservation agency, the Department of the Interior has responsibility for most of our nationally owned public lands and natural resources. This includes fostering the wisest use of our land and water resources, protecting our fish and wildlife, preserving the environmental and cultural values of our national parks and historical places, and providing for the enjoyment of life through outdoor recreation. The Department assesses our energy and mineral resources and works to assure that their development is in the best interests of all our people. The Department also has a major responsibility for American Indian reservation communities and for people who live in island territories under U.S. administration.

View of Tacoma, Washington, published by J.J. Stoner, Madison, Wisconsin, 1884. (Library of Congress, Map Division, Washington, DC)

Guidelines For Local Surveys: A Basis For Preservation Planning

National Register Bulletin 24

Anne Derry
H. Ward Jandl
Carol D. Shull
Jan Thorman

1977

REVISED, 1985, by Patricia L. Parker

**National Register of Historic Places
Interagency Resources Division
National Park Service
U.S. Department of the Interior
Washington, DC**

Acknowledgments

Many professionals in the National Park Service made valuable contributions to the preparation of the original, 1977 issue of this publication. William G. Reeves, the late Carolyn Hamm, and Steven R. Rutenbaum of the National Register and Thomas F. King of Interagency Archeological Services prepared drafts for certain sections of this publication, while Katherine H. Cole, Charles Herrington, and the late Wilford Cole provided helpful comments on the entire manuscript. Editorial assistance was provided by Sarah A. Fackelman. The National Trust for Historic Preservation, the U.S. Department of Housing and Urban Development, and many private consultants with considerable survey experience made a number of useful suggestions during the early stages of this project.

The 1977 issue was thoroughly revised and updated in 1985 by Patricia L. Parker. The National Alliance of Preservation Commissions, the National Conference of State Historic Preservation Officers, and staff of the Interagency Resources Division of the National Park Service provided helpful comments on the revised manuscript. Linda McClelland of the National Register provided editorial assistance in preparing the revised manuscript for publication.

We are grateful for the assistance of these people in the preparation of *Guidelines for Local Surveys*.

Anne Derry H. Ward Jandl Carol D. Shull
Jan Thorman

Foreword

Over the last 80 years, Congress and the President have given the Department of the Interior major responsibilities in identifying, registering, and protecting the Nation's historic resources. With the National Historic Preservation Act of 1966, the Secretary of the Interior was called upon to expand and maintain a national register of historic places and to give maximum encouragement to State governments to develop statewide historic preservation programs of their own. The Act recognized that one of the prerequisites for an effective national preservation program was the identification of historic resources across the country through comprehensive statewide surveys. Through a grants-in-aid program established by the Act, limited funding was made available for survey work at both the State and local levels.

During the 1970s, stimulated by implementation of the National Historic Preservation Act and growing interest in their own historic resources, local governments across the Nation developed and expanded their historic preservation programs. When the National Historic Preservation Act was amended in 1980, Congress recognized this growing interest by mandating increased assistance to local governments whose preservation programs are certified by the State Historic Preservation Officer and the Secretary of the Interior as meeting high professional standards.

Historic resource surveys and their resulting inventories form an important basis for planning decisions that affect the quality of our community life. In order to plan for the preservation and enhancement of the

historic environment, it is necessary to determine what properties make up that environment. It is thus no surprise that the effectiveness of the National Register of Historic Places as a planning tool depends upon the quality and comprehensiveness of survey activity.

Basic standards and guidelines for historic preservation surveys have been published by the Department of the Interior as part of the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*. To provide further assistance to communities and local governments in the conduct of high quality surveys, the National Register has prepared *Guidelines for Local Surveys: A Basis for Preservation Planning*. This bulletin is intended to provide a wide range of information on identifying, registering, and protecting historic resources.

The original version of *Guidelines for Local Surveys* was published in 1977, and quickly became one of the National Park Service's most popular historic preservation publications. By 1984 the original version was out of print, and badly outdated as the result of changes in laws (notably the 1980 National Historic Preservation Act amendments), policies, regulations, the organization of the national historic preservation program, and the sophistication of many State and local preservation programs. Accordingly, the National Park Service undertook a comprehensive rewrite of the publication in 1985, to produce the present volume.

Contents

Acknowledgments

Foreword

Introduction

How to use this publication 1

What is a survey? 2

What is a historic resource? 2

Why undertake a historic resource survey? 3

What should you know about the National Register before undertaking a survey? 4

Who is the State Historic Preservation Officer (SHPO)? What assistance can the SHPO provide? 6

What is a *certified* local government preservation program and how can survey contribute to certification? 7

What is the value of a historic resource survey and inventory? 8

Who should sponsor a survey? 8

Chapter I: Planning the Survey

Initial Questions

What kinds of resources should the survey seek? 9

What kinds of information should be gathered? 11

What different kinds of surveys are commonly used? 12

How large an area should be included in a survey? 13

How long should a survey take? 13

Elements of Survey Planning

How is the purpose of the survey established? 14

What are *historic contexts*? 14

How are survey goals and priorities established? 16

How should the storage and use of survey data be considered during survey planning? 16

How can a community involve the public in planning a survey? 17

What form should a survey design take? 18

Mobilizing Resources for the Survey

- What qualifications should those supervising a survey have? 18
- Where can qualified professionals be located? 19
- How is a professional consultant selected? 20
- What fees do historic resources consultants charge? 21
- How do non-professionals fit into a survey? 23
- What kind of training will ensure a consistent and high-quality survey? 24
- How much should a survey cost? 27
- Where can funding for surveys be obtained? 27

Chapter II: Conducting the Survey

Archival Research

- How should archival research be organized? 28
- What sources of information should be consulted? 31
- Where may primary and secondary information be found? 33

Conducting Field Survey

- How is a reconnaissance of above-ground properties carried out? 35
- How is a reconnaissance of archeological sites carried out? 36
- How is an intensive survey of above-ground properties carried out? 37
- How is an intensive survey of archeological sites carried out? 39
- How can oral history or ethnography contribute to the survey? 40
- What kinds of data will be needed to evaluate historic resources? 41
- What additional planning information may be gathered in the survey process? 47
- Forms, maps, photographs: How should survey data be recorded? 48
- What equipment will be needed for survey work? 50

Chapter III: Review and Organization of Survey Data

- How are survey data reviewed during fieldwork? 52
- How and why are resources evaluated? 54
- What are the advantages and disadvantages of using numerical and categorical evaluation systems? 55

What kinds of due process considerations may be required in evaluating properties? 56
What kind of documentation should be included in the inventory files? 56
How can information be stored to permit efficient retrieval at a later date? 57

Chapter IV: Use of Survey Data in Planning

What are the major components of preservation planning? 61
How are survey data used in ongoing identification? 61
How are survey data used in making evaluation decisions? 62
How can survey data contribute to strategies for the preservation and enhancement of historic resources? 62
How can survey data be used in community development planning? 65

Chapter V: Publications

What should be published once a survey is completed? 69
What are some considerations in production and distribution of survey publication? 70
What are some alternatives to traditional publication? 70

Appendix I: Archeological Surveys 72

Appendix II: Federal Legislation Affecting Historic Preservation 75

Appendix III: Legal and Financial Tools Used to Preserve and Enhance Historic Resources 78

Appendix IV: Bibliography 85

Appendix V: Contacts 99

Appendix VI: Data Categories Used in the National Register Information System 104

Index 111

Introduction

How to use this publication

Guidelines for Local Surveys provides guidance to communities, organizations, Federal and State agencies, and individuals interested in undertaking surveys of historic resources. Although it contains information and recommendations with broad applicability, it is designed primarily for use by local government officials and those who undertake surveys of cities and other communities. Because these guidelines will be read by people of varied interests—local government administrators, community-based preservation organizations, civic groups, preservation professionals, planners, members of preservation commissions, developers, Federal and State agency officials, and other interested persons—information is included that is familiar to some and foreign to others. Some communities may be interested in doing a survey of only one neighborhood using volunteer labor, while other communities may be interested in planning and conducting a comprehensive survey of every building within their city limits using professional consultants.

This publication is divided into five chapters: planning the survey, conducting the survey, review and organization of survey data, use of survey data in planning, and publications. Because many of the activities within these areas are interrelated, some duplication of information is necessary. Many complex procedures, programs, and laws are referred to throughout the text; brief explanations of these are provided in the appendices. The index should aid those readers with specific ideas and questions in mind.

This edition of *Guidelines for Local Surveys* has been thoroughly updated and rewritten based on the original edition, published in 1977. It will be further updated periodically; therefore, comments and suggestions for future editions are welcome. They should be addressed to: Associate Director, Cultural Resources, and Keeper of the National Register of Historic Places, U.S. Department of the Interior, National Park Service, P.O. Box 37127, Washington, DC 20013-7127.

NATIONAL REGISTER RESOURCE CLASSIFICATIONS: DEFINITIONS

District: A district possesses a significant concentration, linkage, or continuity of sites, buildings, structures, or objects united historically or aesthetically by plan or physical development.

Site: A site is the location of a significant event, a pre-historic or historic occupation or activity, or a building or structure, whether standing, ruined, or vanished, where the location itself possesses historical, cultural, or archeological value regardless of the value of any existing structure.

Building: A building, such as a house, barn, church, hotel, or similar construction is created to shelter any form of human activity. *Building* may also be used to refer to a historically and functionally related unit, such as a courthouse and jail or a house and barn.

Structure: The term *structure* is used to distinguish from buildings those functional constructions made usually for purposes other than creating shelter.

Object: The term *object* is used to distinguish from buildings and structures those constructions that are primarily artistic in nature or are relatively small in scale and simply constructed. Although it may be, by nature or design, movable, an object is associated with a specific setting or environment, such as statuary in a designed landscape.

Properties nominated to the National Register may be classified in one of the five property classifications listed above. Those evaluated as meeting the National Register criteria may be nominated separately or as part of a multiple property submission.

A *multiple property submission* includes nominations for all or a portion of the significant historic properties that relate to one or a series of established historic contexts, i.e. properties that share some significant historic or cultural relationship. A multiple property submission calls for the development of historic contexts, selection of related property types, and the identification and documentation of related significant properties. It may be based on the results of a comprehensive interdisciplinary survey for a specific rural area, town, city, section of a city, county, or region of a state, or it may be based on an intensive study of the resources illustrative of a specific type of building or site, a single cultural affiliation, the work of a specific master, or a single or closely related group of historic events or activities. This publication is intended to provide guidance on the conduct of surveys that may in turn form the basis for multiple property submissions. Further information about multiple property submissions for nominating properties



Commercial block in South Royalton Historic District, Royalton, Vermont (Courtney Fisher)

to the National Register is contained in National Register Bulletin 16, *Guidelines for Completing National Register of Historic Places Forms*, available from the National Park Service.

What is a survey?

In this publication *survey* means a process of identifying and gathering data on a community's historic resources. It includes *field survey*—the physical search for and recording of historic resources on the ground—but it also includes *planning* and *background research* before field survey begins, *organization* and *presentation of survey data* as the survey proceeds, and the development of *inventories*.

Survey data refers to the raw data produced by the survey; that is, all the information gathered on each property and area investigated.

An *inventory* is one of the basic products of a survey. An inventory is an organized compilation of informa-

tion on those properties that are evaluated as significant.

Evaluation is the process of determining whether identified properties meet defined criteria of historical, architectural, archeological, or cultural significance. In other words, evaluation involves winnowing the survey data to produce an inventory.

Survey can be conducted at a variety of *scales*, producing different kinds of survey data applicable to different needs. These will be discussed in detail later in this publication.

What is a historic resource?

The National Historic Preservation Act defines *historic resource*, or *historic property*, as:

any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in the National Register (of Historic Places); such term includes artifacts, records, and remains which are related to such a district, site, building, structure, or object.

The National Register, in turn, defines a *historic property* as a district, site, building, structure, or object significant in American history, architecture, engineering, archeology, and culture. A historic property may be a row of stores having cast-iron fronts or Mount Vernon, a water tower or a city park, a railroad station, an ethnic neighborhood, or the archeological remains of a prehistoric Indian village. It may be of value to the Nation as a whole or important only to the community in which it is located.

Why undertake a historic resource survey?

The underlying reason for undertaking a survey to identify a community's historic resources is the growing recognition, by citizens and governments at all levels, that such resources have value and should be retained as functional parts of modern life. The historic resources of a community or neighborhood give it its special character and cultural depth. Some historic resources contain information whose study can provide unique insights into a community's past, and help answer broad questions about history and prehistory. In more utilitarian terms, each historic building and structure represents an investment that should not be discarded lightly; maintaining and rehabilitating older buildings and neighborhoods can mean savings in energy, time, money, and raw materials.

To make effective use of historic resources, to respect their value and extend their lives, it is necessary to integrate historic preservation into community planning. This is the immediate reason for undertaking a local historic resources survey: **to gather the information needed to plan for the wise use of a community's resources.**

A historic resources survey can define the historic character of a community or a particular area and can provide the basis for making sound judgements in community planning. Survey data can be used to construct a *preservation plan* that helps the community identify the historic, cultural, aesthetic, and visual

relationships that unify and define its component areas, and to establish policies, procedures, and strategies for maintaining and enhancing them. It can lead to an increased understanding and awareness of the human environment by officials and citizens within the community and an increased commitment to preserving it.

An official preservation plan, prepared and adopted by the community and its planning agency, should provide a basis for integrating survey information with other planning data; it should be an important part of comprehensive community planning. It can establish priorities for dealing with historic resources within the framework of existing local planning programs and present specific recommendations for meeting these priorities.

A preservation plan may present specific ways to maintain and enhance the positive character of an area, identify legal and financial tools—easements, tax incentives, historic preservation commissions, preservation ordinances, zoning and land use controls, and revolving funds—that aid in the conservation of historic resources, and present design standards for new construction and for the enhancement of environmental amenities. A preservation plan can also illustrate the effect of revitalizing historic resources and can discuss the application of standards for restoration and rehabilitation.



Older commercial buildings in downtown areas are particularly vulnerable to decay and demolition yet could be successfully rehabilitated. This downtown block, in Kansas City, Missouri, is listed in the National Register of Historic Places as part of the West Ninth Street/Baltimore Avenue Historic District. (Paul S. Kivett)

The conduct of historic resources surveys and the development of preservation plans can also facilitate cooperation among local, State, and Federal government agencies in both preservation and community development activities. Establishment of a preservation planning program can help a local government qualify to participate in Federal historic preservation grants-in-aid programs, upon certification by the State Historic Preservation Officer and the Secretary of the Interior. It can also serve as a basis for the Secretary of the Interior's certification of local statutes and historic districts, which can facilitate the use of Federal Investment Tax Credits to stimulate rehabilitation of historic buildings. It can help a local govern-

ment carry out the historic preservation review responsibilities delegated to it by the U.S. Department of Housing and Urban Development in the administration of Community Development Block Grants and certain other grant programs, and it can simplify environmental review of Federal agency projects and assistance programs in the community. Finally, it can provide the basis for designing preservation projects that can receive funding assistance from the State Historic Preservation Officer, the Federal government, and other sources. Further information on relevant funding programs can be found in Appendix III.

SECRETARY OF THE INTERIOR'S STANDARDS FOR PRESERVATION PLANNING, IDENTIFICATION, EVALUATION, AND REGISTRATION

Standards for Preservation Planning:

- Standard I. Preservation planning establishes historic contexts.
- Standard II. Preservation planning uses historic contexts to develop goals and priorities for the identification, evaluation, registration, and treatment of historic properties.
- Standard III. The results of preservation planning are made available for integration into broader planning processes.

Standards for Identification:

- Standard I. Identification of historic properties is undertaken to the degree required to make decisions.
- Standard II. Results of identification activities are integrated into the preservation planning process.
- Standard III. Identification activities include explicit procedures for record-keeping and information distribution.

Standards for Evaluation:

- Standard I. Evaluation of the significance of historic properties uses established criteria.
- Standard II. Evaluation of significance applies the criteria within historic contexts.
- Standard III. Evaluation results in a list or inventory of significant properties that is consulted in assigning registration and treatment priorities.
- Standard IV. Evaluation results are made available to the public.

Standards for Registration:

- Standard I. Registration is conducted according to stated procedures.
- Standard II. Registration information locates, describes, and justifies the significance and physical integrity of a historic property.
- Standard III. Registration information is accessible to the public.

What should you know about the National Register before undertaking a survey?

The National Register, authorized under the 1935 Historic Sites Act and expanded under the National Historic Preservation Act of 1966, was designed to be an authoritative guide to be used by Federal, State, and local governments, private groups, and citizens in identifying the Nation's historic resources of local, State, and national significance and to indicate what properties are worthy of preservation and consideration in the planning process. The National Register is maintained by the National Park Service, U.S. Department of the Interior, located in Washington, DC.

The primary way that properties are listed in the National Register is through nominations by the State Historic Preservation Officers. Potential entries to the National Register are reviewed against established

criteria for evaluation which are worded in a flexible manner to provide for the diversity of resources across the country. These criteria are listed below.

The National Register has become an important component of many State and local historic preservation programs. Criteria for designating local landmarks and local historic districts, which by local ordinance may qualify properties for special tax rates or trigger special review when changes to the property are proposed, are often modelled after the National Register criteria. National Register listing often follows and reinforces State and local designations, extending the concern for preservation and protection to the Federal level. The Register is also central to a number of Federal programs that encourage protection and improvement of the manmade environment, which are discussed in Appendices II and III.



Historic districts take many forms. This rural district, encompassing Silver City, Idaho, and its environs, was surveyed by the Bureau of Land Management and is listed in the National Register of Historic Places. (Idaho Historical Society)

Federal agencies, and communities using Community Development Block Grants and other forms of Federal assistance, are required to consider the effects of their projects, and projects they license or assist, on properties included in or eligible for the National Register. They must also give the Advisory Council on Historic Preservation a reasonable opportunity to comment on such projects. For further information see Appendix II and the Advisory Council on Historic Preservation's publication, *Working with 106*.

Inclusion of a property in the National Register makes it eligible to be considered for grants-in-aid from the Historic Preservation Fund. When available, these grants may be used to acquire a property or to develop it in a way that preserves its historic and architectural character. The State Historic Preservation Officer can provide advice on the availability of Historic Preservation Fund grants.

Federal tax law provides incentives for the preservation of properties listed in the National Register or in-

cluded within registered historic districts. Investment Tax Credits are provided for the rehabilitation of National Register properties qualifying as *certified historic structures* when rehabilitation work is certified by the National Park Service as meeting the *Secretary of the Interior's Standards for Rehabilitation*. Tax deductions are permitted for the charitable contribution of easements on historic properties to qualified organizations. Tax incentives are discussed further in Chapter V, and current information on Federal tax incentives can be obtained from the State Historic Preservation Officer or the regional office of the National Park Service.

When a property listed in or eligible for inclusion in the National Register must be destroyed or damaged by an undertaking involving a Federal agency, funds authorized by the Archeological and Historic Preservation Act of 1974 (Public Law 93-291) may be used to recover any important historical or archeological data the property contains.

THE CRITERIA OF THE NATIONAL REGISTER OF HISTORIC PLACES

The following criteria are designed to guide the States, Federal agencies, and the Secretary of the Interior in evaluating potential entries (other than areas of the National Park System and National Historic Landmarks) for the National Register:

The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and:

- A. that are associated with events that have made a significant contribution to the broad patterns of our history; or
- B. that are associated with the lives of persons significant in our past; or
- C. that embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or

that represent a significant and distinguishable entity whose components may lack individual distinction; or

D. that have yielded, or may be likely to yield, information important in prehistory or history.

Ordinarily cemeteries, birthplaces, or graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories:

A. a religious property deriving primary significance from architectural or artistic distinction or historical importance; or

B. a building or structure removed from its original location but which is significant primarily for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or

C. a birthplace or grave of a historical figure of outstand-

ing importance if there is no other appropriate site or building directly associated with his or her productive life; or

D. a cemetery that derives its primary significance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or

E. a reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or

F. a property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own historical significance; or

G. a property achieving significance within the past 50 years if it is of exceptional importance.

For further information on the National Register criteria and how to interpret them, contact the National Register office of the National Park Service.

Who is the State Historic Preservation Officer (SHPO)? What assistance can the SHPO provide?

State Historic Preservation Officers, appointed by the governors of the States, the chief executives of the territories, and the Mayor of the District of Columbia, carry out the historic preservation programs of their jurisdictions and are given the following responsibilities by the National Historic Preservation Act and other Federal authorities:

1. Carrying out a comprehensive statewide survey of historic properties and maintaining inventories of such properties.
2. Nominating properties to the National Register.
3. Preparing and implementing a statewide historic preservation planning process.
4. Administering Historic Preservation Fund grants.
5. Advising and assisting Federal and State agencies and local governments in historic preservation matters.
6. Working with the Department of the Interior, the Advisory Council on Historic Preservation, and others to ensure that historic properties are taken into account in planning.
7. Providing public information, education, and training in historic preservation.
8. Cooperating with local governments in developing preservation programs, and assisting them in becoming certified to manage Historic Preservation Fund grants and otherwise participate actively in the national program.

9. Reviewing requests for historic preservation certification and making recommendations to the National Park Service, as part of the Federal tax incentives program.

The *Comprehensive Statewide Historic Preservation Plan*, which is prepared and implemented by the State Historic Preservation Officer, is a dynamic planning process that entails organizing into a logical sequence information pertaining to the identification, evaluation, registration, and treatment of historic properties. It also sets priorities for accomplishing preservation activities within the State. Generally the plan takes the format of a series of established historic contexts that correspond to important aspects of the State's prehistory and history and characterize its significant historic resources. A *historic context* is, by definition, an *organizational framework that groups information about related historic properties based on a theme, geographical area, and period of time*. A knowledge of statewide historic contexts may help to identify themes of local as well as State importance and may strengthen the basis for evaluating the significance of properties identified during survey. In turn, survey results may help to augment, refine, and revise historic contexts and preservation priorities established at the State level.

The State Historic Preservation Officer can assist communities and Federal agencies undertaking historic resources surveys by:

1. Providing guidelines, standards, forms, and approaches to survey used in conducting historic resources surveys on a statewide basis.

2. Advising about approaches used by other communities and agencies, and providing contacts with those responsible for survey and planning activities elsewhere.
3. Providing documentation on what historic resources have already been identified by the State or others.
4. Advising in the development of high-quality local surveys.
5. Helping coordinate local surveys with Federally sponsored surveys and the State survey conducted by the SHPO.
6. Helping establish systems for survey data maintenance that will be most effective in meeting the com-

munity's needs and most compatible with regional, statewide, and national data management systems.

7. Nominating properties to the National Register.
8. Passing through funds for survey where a local government's historic preservation program has been certified to participate in the national preservation program.
9. Allocating National Park Service matching grants-in-aid for survey work.
10. Providing information on other sources of funding and assistance for preservation.

What is a *certified* local government preservation program and how can a survey contribute to certification?

The National Historic Preservation Act provides for the *certification* or approval of local historic preservation programs by the SHPO and the Secretary of the Interior. Certification of a program operated by a local government makes the program eligible for grants-in-aid from the Historic Preservation Fund administered by the Secretary, passed through the SHPO. Certification also makes it possible for a local program to exercise greater autonomy in the nomination of properties to the National Register and in other aspects of the national historic preservation program. Regulations covering the certification of local government programs can be found in 36 CFR Part 61.

To be certified, a local government program must enforce appropriate State and local preservation legislation, establish and maintain a qualified historic preservation review commission, provide for adequate public participation in its activities, perform other functions delegated to it by the SHPO under the National Historic Preservation Act, and maintain a system for the survey and inventory of historic properties, consistent with guidelines provided by the SHPO. Thus the conduct of a survey is a necessary basis for the SHPO's and the Secretary's certification of a community's preservation program for participation in activities under the National Historic Preservation Act.



The certification of local governments under the National Historic Preservation Act has made it possible for historic preservation programs operated by local governments, as in Florence, Arizona, to exercise greater autonomy in nominating properties to the National Register of Historic Places and in other preservation activities, such as survey and inventory, and comprehensive planning. (Harris Sobin)

What is the value of a historic resources survey and inventory?

To summarize, historic resources surveys and the resulting survey data and inventories can be used to:

1. Identify properties that contribute to the community's character, or that of its neighborhoods, or that illustrate its historical and architectural development, and as a result deserve consideration in planning.
2. Identify properties or areas whose study may provide information about the community's past, and contribute to scholarship, which should be preserved or subjected to scientific investigation.
3. Establish priorities for conservation, restoration and rehabilitation efforts within the community.

4. Provide the basis for using legal and financial tools to protect and enhance historic resources.
5. Provide planners with a data base from which to monitor and channel new development.
6. Increase awareness in the public and private sectors of the manmade environment and the need for preservation efforts.
7. Enable local governments and Federal agencies to meet their planning and review responsibilities under existing Federal legislation and procedures.

Who should sponsor a survey?

In order to have the greatest impact on planning decisions within a community, surveys of historic resources should have the official endorsement of the local government, although historical societies, professional groups, and interested individuals can help compile documentation, undertake research, and participate in fieldwork. It is important that, in addition to official endorsement, an ongoing process for collecting and evaluating survey data be officially incorporated into the community's planning activities to ensure the availability of current data for community development and planning agencies, local, State, and Federal agencies, public service organizations, developers, and others. Once a process for gathering data has been organized, a community will be able to respond expeditiously to requests for information

about a particular building or an entire neighborhood. It is important that surveys be coordinated with the State Historic Preservation Officer from the earliest stages of planning.

A community historic preservation office and commission established as part of local government can help to protect the resources identified through survey activities and to evaluate proposed development that may adversely affect the community's special character. A historic preservation planner in an existing planning commission or office may provide further assistance in carrying out these functions. Other techniques for protecting the community's historic resources are discussed in Appendix III.

Planning the Survey

An effective survey must be carefully planned, taking into account the community's planning needs, its legal obligations, the interests of its citizens, available funding, and the nature of its historic resources.

This chapter describes some of the basic considerations involved in planning a survey. It first addresses

several general questions that those responsible for planning and funding surveys often ask. It goes on to discuss approaches to planning a survey and a community's preservation program in general, and then turns to practical questions of how to mobilize community resources to support a survey, how to obtain professional expertise, and how to obtain funding.

Initial Questions

What kinds of resources should the survey seek?

As defined by the National Park Service, historic resources fall into the five broad categories—building, site, structure, object, and district—discussed on page 1. The following list, although not comprehensive, indicates the range of resources that fit into these categories and that communities may wish to survey. A number of the resources under the categories below may be considered in a district context.

Building (including groups of buildings)

- Notable examples of architectural styles and periods or methods of construction, particularly local or regional types.
- Buildings showing the history and development of such diverse areas as communications, community planning, government, conservation, economics, education, literature, music, and landscape architecture.
- Stores and businesses and other buildings that provide a physical record of the experience of particular ethnic or social groups.
- Complexes of buildings, such as factory complexes, that comprise a functionally and historically inter-related whole.
- Markets and commercial structures or blocks.

- Buildings by great architects or master builders and important works by minor ones.
- Architectural curiosities, one-of-a-kind buildings.
- Sole or rare survivors of an important architectural style or type.
- Studios of American artists, writers, or musicians during years of significant activity.
- Institutions that provide evidence of the cultural history of a community (churches, universities, art centers, theaters, and entertainment halls).
- Buildings where significant technological advances or inventories in any field occurred (agricultural experiment stations, laboratories, etc.).

Site

- Archeological sites containing information of known or potential value in answering scientific research questions.
- Archeological sites containing information that may shed light on local, State, or national history.
- Sites of cultural importance to local people or social or ethnic groups, such as locations of important events in their history, historic or prehistoric cemeteries, or shrines.



A complete survey must include archeological sites important in prehistory or history. Indian Grinding Rock, Amador County, California. (Louis A. Payen)

- Sites associated with events important in the history of the community as a whole (battlefields, trails, etc.).
- Cemeteries associated with important events or people, or whose study can provide important information about history or prehistory.
- Ruins of historically or archeologically important buildings or structures.
- Historically important shipwrecks.

- Cemeteries important for the architectural or artistic qualities of their constituent structures and monuments.
- Constructed landscapes that exemplify principles, trends, or schools of thought in landscape architecture, or that represent fine examples of the landscape architect's art.

Structure

- Industrial and engineering structures, including kilns, aquaducts, weirs, utility or pumping stations, and dams.
- Transportation structures, including railroads, turnpikes, canals, tunnels, bridges, roundhouses, lighthouses, and wharves.
- Agricultural structures such as granaries, silos, corncribs, and apiaries.
- Movable structures associated with important processes of transportation, industrial development, social history, recreation, and military history (ships, locomotives, carousels, airplanes, artillery pieces, etc.).

Object

- Objects important to historical or art historical research (petroglyph boulders, bedrock mortars, statuary, rock carvings, etc.).



Landscape features, both open spaces and those designed, that are important in defining the character of an area should be documented in the survey. St. James-Belgravia Historic District, Louisville, Kentucky. (Jefferson County Archives)

- Objects important to the cultural life of a community and related to a specific location (totem poles, fountains, outdoor sculpture, road markers, mileposts, monuments, etc.).

District

- Groups of buildings that physically and spatially comprise a specific environment: groups of related buildings that represent the standards and tastes of a community or neighborhood during one period of history, unrelated structures that represent a progression of various styles and functions, or cohesive townscapes or streetscapes that possess an identity of place.
- Groups of buildings, structures, objects, and/or sites representative of or associated with a particular social, ethnic, or economic group during a particular period.
- Farmlands and related farm structures (silos, barns, granaries, irrigation canals) that possess an identity of time and place.
- Groups of structures and buildings that show the industrial or technological developments of the community, State, or Nation.
- Groups of buildings representing historical development patterns (commercial and trade centers, county seats, mill towns).
- Groups of sites, structures, and/or buildings containing archeological data and probably representing an historic or prehistoric settlement system or pattern of related activities.
- Groups of educational buildings and their associated spaces (school and university campuses, etc.).
- Extensive constructed landscapes, such as large parks, that represent the work of a master landscape

architect or the concepts and directions of a school of landscape architecture.

- Landscapes that have been shaped by historical processes of land use and retain visual and cultural characteristics indicative of such processes.

Although the spatial relationships between component elements is usually important in the definition of a district, the elements of a district do not necessarily have to be contiguous. For example, a number of archaeological sites in a stream valley, representing the settlement system of a prehistoric group, may be widely scattered and separated from one another by highways, housing tracts, and other modern developments, but still constitute a unified whole that can be categorized as a district. In a similar way, a series of canals and related structures and buildings, separated from one another by the natural bodies of water they connect, may nevertheless constitute an integrated transportation system that is best viewed as a district.



Engineering structures associated with transportation lines, whether currently used or not, should be included in the survey. The Copper River and Northwestern Railway, Chitina vicinity, Alaska, was constructed to gain access to the interior copper country and thus, is closely associated with a major economic activity in this area. The National Register of Historic Places listing includes 25 miles of railroad bed, sections of track, trestles, and associated buildings. (Alaska Division of Parks)

What kinds of information should be gathered?

The precise kinds of information that should be collected by a survey will depend on its purpose and the scale at which it is conducted, as discussed below. Survey planners should also consult with the State Historic Preservation Officer in determining what kinds of information to collect, and the methods and approaches to use in collecting it. To ensure effective incorporation of the survey data into the State and Federal planning processes, survey planners should strive for consistency with the standards and guidelines provided by the State Historic Preservation Officer, and should relate their research to historic contexts established in the State historic preservation planning process where these are applicable. Many State Historic Preservation Officers can provide de-

tailed guidance and standard forms for the conduct of surveys and the recording of different kinds of resources.

If the survey is intended to result in nominations to the National Register, appropriate National Park Service guidelines should be consulted. The publication, National Register Bulletin No. 16, *Guidelines for Completing National Register Forms*, is the standard reference on National Register documentation requirements. Others in the National Register Bulletin series provide supplementary information on such topics as how to establish property boundaries, how to evaluate relatively modern properties, and how to improve the quality of property photographs.

What different kinds of surveys are commonly used?

Both the *Secretary of the Interior's Guidelines for Identification* and common practice distinguish between two general levels of survey: *reconnaissance* and *intensive* survey. Both kinds of survey involve background documentary research into the community's history, archeology and architecture, as well as field work, but they are different in terms of the level of effort involved.

Reconnaissance may be thought of as a "once over lightly" inspection of an area, most useful for characterizing its resources in general and for developing a basis for deciding how to organize and orient more detailed survey efforts. In conjunction with a general review of pertinent literature on the community's past, a reconnaissance may involve such activities as:

- A "windshield survey" of the community—literally driving around the community and noting the general distribution of buildings, structures, and neighborhoods representing different architectural styles, periods, and modes of construction.
- a "walkover" archeological inspection, perhaps coupled with small-scale test excavations, to get a general idea of the archeological potential of portions of the community.
- a study of aerial photographs, historical and recent maps and city plans, soil surveys, and other sources of information that help gain a general understanding

of the community's layout and environment at different times in its history.

- detailed inspection of sample blocks or areas, as the basis for extrapolation about the resources of the community as a whole.

An *intensive* survey, as the name implies, is a close and careful look at the area being surveyed. It is designed to identify precisely and completely all historic resources in the area. It generally involves detailed background research, and a thorough inspection and documentation of all historic properties in the field. It should produce all the information needed to evaluate historic properties and prepare an inventory.

The *Secretary of the Interior's Standards and Guidelines for Identification* provide outlines of the information that should be documented as the result of reconnaissance and intensive surveys. Where such surveys are supported by grants-in-aid funds from the Department of the Interior, such information must be recorded as a condition of the grant, and such documentation is basic to professional practice in the conduct of any survey, regardless of its source of funding.

Reconnaissance and intensive survey are often conducted in sequence, with reconnaissance being used in planning intensive survey. They are also sometimes



Prehistoric archeological sites may be preserved beneath a modern city's streets and houses, particularly if the houses were built on slabs or shallow foundations and the soil was not greatly disturbed. Here in suburban Phoenix, Arizona, the remains of pithouses occupied by the prehistoric Hohokam Indians are being excavated in the path of a new highway right-of-way. (Arizona State University and Arizona Department of Transportation)

combined, with intensive survey directed at locations where background research indicates a likely high concentration of historic resources and reconnaissance directed at areas where fewer resources can be expected. They can also be combined with reference to different resource types: for example, in a

given area it may be appropriate to conduct an intensive survey of buildings and structures but only a reconnaissance with reference to archeological sites, while in another area archeological sites may require intensive survey while buildings need only a "once over lightly" examination.

How large an area should be included in a survey?

City or county limits define the survey area for many communities. In other cases, decisions about what part of the community to survey may be based on community development project areas or on other areas with recognized development potential. The historic contexts relevant to the survey effort may also affect the size of the areas to be included. For example, if the history of ethnic minorities in the community is an important historic context addressed in the survey effort, neighborhoods known or thought to have been occupied by such minority groups in the past, or occupied by them today, should obviously be included in the survey. Public interest and support may also dictate the inclusion of particular neighborhoods in the survey. Members of the community knowledgeable about local history or archeology may be able to suggest areas of potential historic or archeological significance that should be

considered for inclusion in the survey.

In planning a survey, background research should be conducted on the community to get an overview of its development. It also is advisable, as a preliminary step, to conduct at least a cursory reconnaissance of the community to identify potential significant areas or specific properties that might be the target of intensive survey efforts. Where this is done, provision should be made for adding properties and areas identified through documentary research and subsequent field survey, since historically significant places are not always obvious visually. In cases where the entire community is to be surveyed, it may be advisable to undertake these assessments in stages. Decisions about what areas to survey first may be based on time, money, or pending projects which may affect resources within a particular area.

How long should a survey take?

In planning a survey, a timetable should be worked out to establish deadlines for each stage of the project. The timetable should reflect not only community development planning needs but also the nature and scope of the survey project itself. In addition to deadlines, it should establish periodic evaluation sessions to review data gathered and overall progress to date. These sessions could provide the basis for on-going publicity.

The length of time in which the survey project can be successfully completed depends on the size and complexity of the area(s) to be covered, the number of surveyors and researchers, and the amount of information to be gathered. Some localities have found it effective to approach the survey on an area-by-area basis, completing an inventory of one area before moving on to the next. This method has the advantage of letting the community build on past experience in each successive survey and of allowing for feedback on the usefulness of the material gathered in the planning process. It has the disadvantage of providing no data on substantial portions of the community until late in the overall survey process. A phased survey, in which background research and reconnaissance of most or all of the community is conducted first, followed by intensive survey where needed, is an

SURVEY DOCUMENTATION

The *Secretary of the Interior's Standards and Guidelines for Identification* specify the kinds of information that should be collected as a result of field survey:

A reconnaissance survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including the extent of survey coverage;
4. The kinds of historic properties present in the survey area;
5. Specific properties that were identified, and the categories of information collected; and
6. Places examined that did not contain historic properties.

An intensive survey should document:

1. The kinds of properties looked for;
2. The boundaries of the area surveyed;
3. The method of survey, including an estimate of the extent of survey coverage;
4. A record of the precise location of all properties identified; and
5. Information on the appearance, significance, integrity, and boundaries of each property sufficient to permit an evaluation of its significance.

alternative to area-by-area survey. A combination of approaches, as noted above, may also fit a particular community's planning needs. Decisions about what kind of survey to conduct, and how it may be phased, naturally define how long the survey will take.

Communities planning to hire professional consultants to conduct the survey should include a rough timetable as part of the general work prospectus that they present to potential consultants (see section on

selecting a professional consultant). A detailed timetable or work schedule can then be developed in conjunction with the consultant hired. Deadlines scheduled well before those called for by procedural or other obligations will ensure timely completion of the project. It may be appropriate to establish separate timetables for the conduct of background research, reconnaissance, and intensive surveys, for the organization of survey data, for evaluation, for publication, and for development of preservation plans.

Elements of Survey Planning

How is the purpose of the survey established?

It is fair to say that any historic resources survey of a community has as one of its main purposes, if not its sole purpose, the development of a complete, fully documented, comprehensive inventory of the community's historic properties. It is important to recognize, however, that *a survey need not be complete and comprehensive in order to be useful.*

- If background knowledge of a community's history suggests that particularly important historic properties may be concentrated in particular areas, it may be cost-effective to survey such areas first, giving lower priority to areas where historic properties are less likely to be found, or may be found in lower densities.
- Conversely, if not much is known about a community's historic resources, it may be appropriate to concentrate initially on background research and broad-scale *reconnaissance* (as defined on p. 12) to obtain an initial idea of the community's resource base before designing more intensive surveys.
- If a particular part of the community may be subject to substantial development in the near future, or is the target for use of Federal assistance, triggering the need for historic preservation review, it may be appropriate to concentrate survey in that part of the community before other areas are addressed.
- If there is a considerable potential for rehabilitation of historic commercial buildings in the community, stimulated by the availability of tax advantages at the Federal or State level, it may be appropriate to give the identification of commercial buildings priority over the identification of other types of historic properties.
- If the residents of a particular neighborhood, or property owners in a particular commercial area of the community, have expressed interest in maintaining and enhancing their historic properties, it may be a prudent investment to give survey in such area priori-

ty over survey in areas where there is less immediate potential for use of the resulting survey data.

In short, a survey can be done at many different scales, with many different emphases, and using many different techniques at different levels of refinement. The kind of survey undertaken depends on the needs of the community.

What are historic contexts?

Together with the community's planning and development priorities, and its available personnel and financial resources, historic contexts are the most influential factors in defining the structure of a survey effort. A **historic context** is a broad pattern of historical development in a community or its region, that may be represented by historic resources.

For example, if a community began as a port village in the early 18th century, its functions as such may be reflected in its street plan, in the character of some neighborhoods, in some particular buildings or groups of buildings, or in archeological remains buried beneath more recent development. The operation of the early 18th century port is thus one historic context that influences the nature and distribution of the community's resources, and should influence survey efforts designed to find and document such resources. If the community underwent a commercial boom in the 1890s, was burned during the Civil War, received immigrant ethnic groups in the early 20th century, received the attention of a particular school of architecture, or was the probable location of a prehistoric American Indian village, each of these historic contexts should be considered in planning the survey.

The importance of taking historic contexts into account cannot be overemphasized. Failure to do so can

lead to the application of survey methods that are not cost-effective, that fail to identify significant resources, or that contain uncontrolled biases.

The establishment of historic contexts is vital to targeting survey work effectively, and to the effective use of personnel. For example, if representatives of an important school of architecture designed a number of buildings in the community's central business district, knowledge of this historic context will lead survey planners to focus the attention of qualified architectural historians on this section of the community, while if prehistoric Indians in the area typically established their villages at the confluence of streams, knowledge of this historic context may lead surveyors to use information on old stream patterns within the community to identify locations for archeological survey and testing.

Historic contexts are developed on the basis of background data on the community's history and prehistory, or on such data from the surrounding area. To mobilize such data, survey planners should conduct initial research into the community's history and the history and prehistory of the region in which it lies, and should consult knowledgeable authorities. Local historical organizations and academic history departments, professional and avocational archeologists and archeological organizations, professional architects and landscape architects, and local chapters of the American Institute of Architects are all likely sources of useful advice. The State Historic Preservation Officer can often suggest knowledgeable

local sources, as well as provide information on what surveys have already been done in the area and suggest possible topics of inquiry. Generally, establishing historic contexts involves reviewing the known history and prehistory of the State and region in which the community lies, seeking to define important patterns in the development of the area through time that may be represented by historic properties.

Historic contexts may be unique to a community, but often are reflected in, or related to, the surrounding region or to other communities. For this reason, it is important to coordinate the development of a community's historic contexts with the State Historic Preservation Officer's statewide planning efforts. Most statewide preservation plans developed by State Historic Preservation Officers establish at least broad, general historic contexts which may be directly or indirectly applicable at the local level. Furthermore, the State Historic Preservation Officer is likely to be aware of historic contexts developed through the planning efforts of other communities and Federal and State agencies.

Historic contexts are almost always refined, modified, added to, and elaborated on as the survey itself proceeds. At the point of planning the survey, it may be feasible to define them only in broad, general terms; sufficient flexibility should always be maintained to allow changes to take place as the survey progresses. An initial statement of historic contexts should be developed during the earliest stages of planning to guide development of the actual survey design.



Comprehensive community surveys should not be limited to architecturally significant buildings; but should include all tangible links with the past. These stockyards played an important role in the history and the development of Fort Worth, Texas, and are included in a National Register historic district. (Steve Smith, Texas Historical Commission)

How are survey goals and priorities established?

Ideally, survey goals should be based on historic contexts. For example, suppose that a community (a) was the probable location of a prehistoric Indian village near the confluence of two streams; (b) was a port during the 18th century; (c) experienced substantial commercial development in the late 19th century, during which many buildings designed by practitioners of an important school of architecture were constructed in the central business district; and (d) experienced growth in the early 20th century as Italian, German, Hispanic, and rural Black immigrants established row house neighborhoods ringing the center city. Goals for a first-stage, reconnaissance-level survey effort might be (a) to determine whether soil strata that might contain the archeological remains of the Indian village still exist under the modern streets and houses that overlie the old stream confluence; (b) to determine the boundaries of the 18th century port, identify major buildings still standing from the period, identify buildings requiring further study to determine whether they represent repeatedly modernized 18th century buildings, and determine locations of likely archeological interest; (c) to identify major surviving concentrations of 19th century commercial buildings; and (d) to identify ethnic neighborhoods that retain their architectural and cultural integrity.

The means to achieving these goals can then be assigned priorities based on such factors as work already conducted, available funding, planning and development constraints, and survey opportunities.

If some data are available on a given historic context as the result of prior work, it may be appropriate to assign relatively low priority to investigating that context, emphasizing instead those that are less well known; alternatively, the existence of information on a particular historic context may be taken as an opportunity to be built upon, thus giving investigation of that context higher priority.

Historical research and archeological testing to identify the boundaries of the 18th century port might be more expensive than a program of interviews and windshield survey to locate ethnic neighborhoods, for example, so the former might be assigned a lower priority than the latter, or divided into phases that could be implemented over time to reduce expense.

Planning needs are often the major bases for setting priorities. For example, if our hypothetical community's business people are interested in taking advantage of tax incentives to rehabilitate commercial buildings, it may be appropriate to facilitate this effort by giving high priority to the goal of documenting the community's downtown commercial districts in sufficient details to prepare complete National Register nominations. If the Army Corps of Engineers is planning a project to channelize streams flowing through the community, this may create both the need to give high priority to identifying the remains of the Indian village and the opportunity to use Federal assistance from the Corps of Engineers to do so. If a city government intends to target a particular area for rehabilitation of older buildings using Community Development Block Grant funds, this may justify giving priority to survey of the target area to identify historic properties that should be protected from inappropriate construction activities.

Finally, opportunities provide a basis for setting priorities. If a local university is interested in establishing a field school in historic archeology, the opportunity may exist to use the university's efforts to study the 18th century port area. If a neighborhood group is interested in documenting its social history in the community, this may present an opportunity to mobilize neighborhood support for the survey effort and suggest that the interested neighborhood should be assigned high priority.

It should be recognized that, as the survey progresses, it will almost certainly be necessary to adjust goals and priorities. The survey will probably identify new historic contexts and refine others. New opportunities and constraints will arise. Work will be completed sufficiently with respect to some goals to allow attention to shift to others. Finally, it may be necessary to correct distortions created by the pursuit of previous priorities. After a few years of response to the needs generated by tax incentives for commercial rehabilitation, for example, a community may have exhaustive documentation on its commercial districts but very little data on its residential neighborhoods, public buildings, or archeological resources. It may then be appropriate to adjust the survey to give higher priority to areas and resources earlier given short shrift.

How should the storage and use of survey data be considered during survey planning?

Chapter III discusses the review and organization of survey data, and should be considered during survey planning. It is important to consider how survey data will be stored, organized, and used before the survey itself begins, because many decisions about how to

record information will depend on how the data are to be used and in what form they will be maintained. For example, if an important reason for the survey is to provide information to the city planning office, which maintains its data base on computer, it is im-

portant that the survey data be collected in a form that is compatible with that computer's operating system. Similarly, if there is a historic preservation ordinance calling for the review of proposed changes to historic properties, survey data should be stored in a form and location that are accessible and useful to the local historic preservation commission. At the same time, particularly if the survey is being supported by the State Historic Preservation Officer as part of the statewide comprehensive survey, it is important that the data be collected in a form that can be easily put into the SHPO's data base, and if nominations to the National Register are being considered, the community will want to design its forms and records to ensure that collected data are compatible with National Register categories and documentation re-

quirements. As another example, if the community feels that developing an extensive, high-quality photo archive of its significant architecture is an important goal, this will influence decisions about the kinds of cameras to provide to each survey team, the kind of training to provide, and the amount and kinds of film to budget for.

This aspect of planning will involve consulting with those who are likely to be important users of the survey data to determine the form of information that will be most useful and accessible. Recording forms, systems for translating raw survey data into computer-compatible formats, and archiving systems should then be designed with these considerations in mind, and surveyors should be trained in their use.

How can a community involve the public in planning a survey?

The success of planning a community survey, as well as conducting it and using the results, will depend on a broad base of local interest and involvement. Vital support for the survey, and for historic preservation in general, can be generated if a carefully planned campaign is mounted to involve the public and obtain their participation. Such a campaign can also identify valuable local sources of information and special expertise. Public involvement should begin at the earliest stages of survey planning.

Means of stimulating interest might include neighborhood meetings; displays at libraries, public schools, and museums; walking tours; lectures and discussions by preservation specialists; and newspaper articles about the survey, about preservation activities in other communities or about the history, archeology, or architecture of the community. Local newspapers may also be used to solicit historical data, reminiscences, old photographs, and other information. Community newspapers could, for example, carry a tear-out survey form to encourage readers to submit information on properties and on sources of unpublished documentary material with which they are familiar.

Special efforts should be made to involve those in the community with particular interests in historic properties or community development. Local historical organizations, neighborhood groups, and archeological societies should be contacted. Historians, architects, landscape architects, archeologists, folklorists, sociologists, and anthropologists should be sought out. Interviews with such organizations and individuals should seek to identify ways the survey can serve their interests, and how their expertise can contribute to the survey effort.

Potential users of survey information, including community planners, historic preservation commissions, business leaders, tourism offices, libraries, schools, and the Chamber of Commerce should be informed of the survey effort and asked how the survey can be designed to be of greatest value to them.

Where the survey will take place in neighborhoods whose residents do not speak English as their first language, or where social customs are not those of mainstream Anglo-American society, efforts to involve the public should be carried out in the language of the neighborhood's residents as much as possible, and should be sensitive to their cultural values and systems of communication. In some societies, for example, it is very disrespectful for young people to talk about history in the presence of their elders; in such a context, an open public meeting to seek information on the community's history may not only be ineffective, but may endanger the support that prominent older members of the community would otherwise have for the survey. Neighborhood leaders should be consulted to design public involvement efforts that are consistent with local values and expectations. If professionals knowledgeable about the neighborhoods in which surveys will take place—for example, sociologists, anthropologists, and social workers—are available, they also should be consulted during early survey planning.

Community enthusiasm for the survey project can generate volunteer support and assistance for various aspects of the survey, such as historical research and field survey work. Survey planning should be coordinated with local historical commissions and societies, civic groups, archeological societies, and other professional organizations. These organizations are usually knowledgeable about their community's historic resources and often can provide useful

documentation as well as volunteer assistance in conducting the survey. The following community groups are also potential sources of volunteers for the survey: Chamber of Commerce, Jaycees, Junior League, fraternal organizations (Rotarians, Elks, Kiwanis, etc.), youth organizations (YMCA, YWCA, high school clubs, service organizations, etc.), men's and women's clubs, universities and colleges, and religious groups.

Before initiating fieldwork, it is important that the

public be given adequate notice of the appearance of surveyors in their neighborhoods and be informed of the kind of documentation they will be gathering. Newspaper articles providing such information, as well as posters in supermarkets, schools, churches, etc., can allay unnecessary suspicions, and help assure a positive reception for the surveyors. It may also be useful for surveyors to carry a letter of introduction explaining the survey project, its goals, and its methods.

What form should a survey design take?

Based on initial background research, minor reconnaissance, consultation with the State Historic Preservation Officer and others, and public participation, it should be possible to draft a general scope of work for the survey. The scope of work should outline the purpose of the survey, survey goals at least for the first phase of work, and priorities as appropriate. It should specify the objectives of each phase of work, and identify the methods to be used (for example, background research, field study, supervision of volunteer survey teams). It should establish approximate time frames for the conduct of the work, or for the conduct of particular phases of work, and it should include or be supported by a brief description of the historic contexts to be investigated. To the ex-

tent possible, it should describe the expected results of the investigation of each context—that is, what kinds of historic resources may be expected, what their general nature and numbers may be, and what condition they may be in. Finally, it should specify the purposes to which it is expected that the survey data will be put, and how these purposes will structure the collection and recording of data.

Survey planners should consult the State Historic Preservation Officer when preparing a survey design. State Historic Preservation Officers have considerable experience in designing and implementing surveys, and can provide valuable advice and models, as well as help ensure that the design is consistent with statewide survey standards.

Mobilizing Resources for the Survey

What qualifications should those supervising a survey have?

The usefulness of the survey as a planning tool will depend in large part on its overall accuracy and professional quality. It is important, therefore, for communities to obtain the advice and involvement of qualified professional personnel in all phases of the survey project. Typically, a historic resources survey should make use of professional historians, architectural historians, archeologists, and other specialists, in the supervision of both historical research and field inspection. Minimum qualifications for these professional personnel, as defined by the National Park Service, are given in the box on page 22. Other professionals, such as historical architects, planners, social and cultural anthropologists, and landscape architects, may be helpful in gathering survey data. Familiarity with the National Register program and the application of its criteria for evaluation is extremely helpful.

Professionals should be responsible for all major decisions affecting the survey effort, including providing guidance to inexperienced surveyors, defining districts and properties of potential significance within the overall survey areas, evaluating and interpreting data gathered in the survey, and producing or overseeing the production of photographic and other graphic documentation.

Some professionals within the community may be willing to volunteer their time to undertake survey work. In most cases, however, communities will find it necessary to hire professionals. Where volunteer labor is relied upon, it is advisable to appoint or hire at least one professional who can administer or oversee survey activities, coordinate the work being done, and make program decisions. Ideally, such a person—referred to in this publication as a survey coordinator—should have the ability to organize survey teams, budget time and money wisely, and assembly and interpret raw data.

Where can qualified professionals be located?

The State Historic Preservation Officer (see Appendix V for addresses) should always be consulted for advice when seeking professionals for participation in a survey. Responsible for the statewide comprehensive survey, the State Historic Preservation Officer is usually familiar with the State's historic preservation professionals. National Park Service Regional Offices (see Appendix V for addresses) can also often provide knowledgeable advice about potential professional assistance. In addition to the State Historic Preservation Officer, and the National Park Service, the following individuals and organizations can often be helpful in finding professional assistance.

State Archeologist, whose office in some States is separate from that of the State Historic Preservation Officer (addresses available from the National Park Service).

National Conference of State Historic Preservation Officers (444 North Capitol Street, Suite 332, Washington, DC 20001). The NCSHPO is the organization that represents the State Historic Preservation Officers in Washington. It can assist in making contact with State Historic Preservation Officers about sources of professional assistance.

National Alliance of Preservation Commissions (444 North Capitol Street, Suite 332, Washington, DC 20001). The NAPC is a membership organization that seeks to coordinate local preservation programs and provide them with national representation. It can put local officials and survey planners in touch with other communities and statewide alliances that have undertaken similar projects and can provide first-hand advice about consultants and other matters.

National Trust for Historic Preservation (1785 Massachusetts Avenue, NW, Washington, DC 20036). The Trust also has regional offices which can provide advice about qualified professionals, institutions, and firms. It also includes a placement service in *Preservation News*, its monthly newspaper.

State and regional archeological councils and societies (addresses available from the State Historic Preservation Officer).

Local colleges and universities, especially history, architecture, and anthropology departments.

American Anthropological Association (1703 New Hampshire Avenue, NW, Washington, DC 20009). The AAA may be able to advise about locating archeologists and cultural anthropologists.

American Institute of Architects (1735 New York Avenue, NW, Washington, DC 20006). Each State has

an AIA Preservation Coordinator to oversee and advise on preservation activities. The AIA has a Committee on Historic Resources, and publishes a directory of its members.

American Association for State and Local History (172 Second Avenue North, Suite 102, Nashville, TN 37201). AASLH publishes a *Directory of Historical Societies and Agencies in the United States and Canada*, and provides a variety of other services to communities seeking consultants and planning surveys.

American Folklore Society (1703 New Hampshire Avenue, NW, Washington, DC 20009) can advise on folklorists and anthropologists qualified to participate in oral historical and ethnographic survey work.

American Planning Association (1313 East 60th Street, Chicago, IL 60637) and its Historic Preservation Division (1776 Massachusetts Avenue, NW, Washington, DC 20036), can put communities in touch with preservation planners and community planners with experience in preservation.

American Society of Landscape Architects, Historic Preservation Committee (1733 Connecticut Avenue, NW, Washington, DC 20009) can offer advice about landscape architects with experience in preservation. The Society publishes a *National Directory of Landscape Architecture Firms*.

Association for Preservation Technology (Box 2487, Station D, Ottawa, Ontario, Canada K1P5W6). This is a joint Canadian-U.S. organization that can put communities into contact with architects and architectural conservationists experienced in preservation and restoration work.

National Coordinating Committee for the Promotion of History (400 A Street, SE, Washington, DC 20003). This committee publishes a *Directory of Historical Consultants*.

National Council for Public History (Department of History, West Virginia University, Morgantown, WV 26506). This organization seeks to coordinate the activities of professional historians in non-academic work.

Organization of American Historians (112 North Bryan Street, Bloomington, IN 47401). The OAH provides a professional placement service for its members.

Society of Professional Archeologists. SOPA does not maintain a permanent business office, but is represented by its Secretary-Treasurer, an elected official. SOPA's current address should be available from the State Historic Preservation Officer. SOPA

publishes an annual *Directory of Professional Archeologists*, which lists archeologists who have agreed to comply with a Code of Ethics and other professional standards, and who have been certified by SOPA to meet specified professional qualifications.

Society for American Archaeology (1511 K Street, NW, Suite 714, Washington, DC 20005). A membership organization of professional and avocational archeologists, the SAA runs a placement service at its annual national meeting.

Society for Applied Anthropology (1001 Connecticut Avenue, NW, Suite 800, Washington, DC 20036). The SfAA can advise about cultural anthropologists who can provide assistance in oral historical and ethnographic work, and about archeologists.

Society of Architectural Historians (1700 Walnut Street, Room 716, Philadelphia, PA 19103). SAH runs a placement service at its Philadelphia headquarters.

Society for Historical Archeology (1703 New Hampshire Avenue, NW, Washington, DC 20009) may be able to provide information on archeologists who specialize in the study of archeological remains representing periods since the arrival of Europeans in America.

Society for Industrial Archeology (c/o National Museum of American History, Smithsonian Institution, Room 5020, Washington, DC 20560) can provide information on archeologists who specialize in the study of industrial sites and structures.

How is a professional consultant selected?

The following steps are suggested as a guide for selecting a professional consultant:

1. Define the nature of the work carefully, in order to have a clear idea of how many and what kind of consultants to look for. This is an important reason for developing a thorough scope of work.

2. Send the scope of work to a number of firms, institutions, organizations, or qualified individuals with the requests that they submit written proposals.

3. Consider the general qualifications of those who submit proposals. References should be required and investigated carefully.

4. Evaluate the written proposals provided. Ascertain how well each consultant appears to understand the reasons for and nature of the work, and evaluate the methods and approach that each intends to use in undertaking the project. (Look for a consultant who seems to understand what he or she is doing and has a good idea of how to do it.)

5. Choose for interviews one or more consultants that appear to be the best qualified. Interviews with more than three consultants may not be productive.

6. Interview selected consultants separately, explaining the work that has to be done and the selection procedures you are using. Enough time should be scheduled for each interview to allow for a careful examination of qualifications and thorough discussion of the survey project. In addition to the professional qualifications listed on page 22 the following are particularly important criteria to consider:

- (a) Experience and reputation. Consult the State Historic Preservation Officer and relevant organizations listed in the preceding section to determine where qualified professionals may be located and how to evaluate survey experience.

- (b) Workload. Try to determine whether the consultant will be able to accomplish the project within the time frame that you have established. The consultant's reputation for meeting deadlines will be a good indication of this.

- (c) Access to all fields of expertise needed to meet the requirements of the project. Whether the consultant has such expertise personally, on his or her staff, or through cooperative arrangements with others, it is important to ensure that he or she understands what expertise is needed to pursue the survey goals and can mobilize that expertise when it is needed. Although the kinds of expertise needed will vary, historic resources surveys are typically interdisciplinary, requiring the expertise of historians, architectural historians, archeologists, and other specialists.

- (d) Ability to work with the public. The survey will be a very public activity in the community, so at a minimum the selected consultant should have the ability to interact well with people. The social values of the neighborhoods in which the survey will take place should be considered; it is vital that those responsible for the survey be able to work well with the people of the community. If the survey will involve the substantial use of volunteers, the consultant should have the clear ability to inspire, organize, and supervise them.

7. Make a list of consultants interviewed in order of desirability, based on apparent ability to accomplish the project.

8. Contact the first choice and agree on a precise outline of responsibilities and a fee.

9. If you cannot agree on responsibilities, fee, or contract details, notify the consultant in writing that negotiations are being discontinued. Then begin negotiations with the next consultant.

Consultation with the State Historic Preservation Officer and, in some cases, with the National Park Service Regional Office, is recommended during selection of consultants. Establishment of a review panel including appropriate professionals and representatives of the community may be appropriate.

Selection of a consultant simply on the basis of a bid is not recommended. A historic resources survey is a complicated professional activity that requires the exercise of careful subjective judgement. Simply obtaining the cheapest services, without full consideration of the quality of work offered, will almost certainly result in poor work and wasted time, money, and public enthusiasm. For consultants who can provide the necessary services within the established budget range, competition should be on the basis of professional competence, experience, and quality of proposal.

Additional considerations:

1. Limit the number of consultants interviewed. Careful preinterview selection will enable you to interview a few consultants in depth and should provide sufficient information for a sound choice. This preinterview process will provide consultants an opportunity to submit information explaining their qualifications and the nature and extent of their experience.
2. Establish financial parameters and explain budgetary restrictions, if any, at the outset, but avoid competitive bidding for the reasons given above.
3. Avoid nonwritten agreements. For the protection of both client and consultant, the client should always execute a written contract with the consultant.

What fees do historic resources consultants charge?

Fees charged by professional consultants are generally based on the scope and complexity of the work as measured by the time or professional personnel required to complete it; experience, education, training, and reputation of the personnel involved; and the quality of service the consultant is prepared to provide. There are five basic kinds of financial arrangements used for consultant services:

1. Lump Sum Fee for all Contracted Services. This arrangement may be advantageous to the client due to its relative ease of budgeting. It can, however, be a problem for both the client and the consultant because it is difficult to anticipate unknown factors that could be involved. In fairness to both parties, there should be a definite statement of time limits and a provision for the adjustment of the fee. Of course, it is important that the program and responsibilities of the consultants be carefully specified in enough detail to preclude mutual misunderstanding.

If the survey is funded using a grants-in-aid from the Historic Preservation Fund administered by the National Park Service, the contract should specify that the survey (whether at a reconnaissance or intensive level) will collect and document the information required by the *Secretary of the Interior's Standards and Guidelines for Identification*. Similarly, if the purpose of the survey is to obtain documentation for National Register nominations or determinations of eligibility, the contract should specify that the consultant is responsible for compiling sufficient documentation, consistent with the *Secretary of the Interior's Standards and Guidelines for Evaluation and Registration* and other relevant National Park Service guidelines, to permit the necessary professional review. Although special demands of the consultant may arise during the course of the survey project, the consultant cannot be expected to do work outside of the contract, unless the contract and fee are amended accordingly.

Guidance in drawing up contracts for survey work may be obtained from the State Historic Preservation Officer and from the Regional Offices of the National Park Service.

4. Avoid possible conflict of interest situations. Consultants may offer to provide services at low rates in anticipation of securing future contracts for other types of professional services (restoration work, excavation of archeological sites, etc.). The prime task of the consultant should be the completion of the survey and inventory project. If a long-term cooperative relationship between the consultant and the client is in the best interests of both, it should be explicitly negotiated as such.

2. Fixed Fee for Professional Services-Plus Actual Amount of Other Expenses. Beyond a fixed fee, the firm or individual is paid the cost incurred in connection with the work based upon the actual costs incurred. Such costs would include, in addition to payroll and general office overhead, materials, printing, and other out-of-pocket costs directly chargeable to the job. It is usual to set a limit of reimbursable costs in the contract providing for this type of financial arrangements, or to provide that such costs shall not be incurred without prior approval of the client.

3. Fee as Fixed Percentage of Expenses. Compensation is based upon the consultant's technical payroll, multiplied by an agreed-upon factor, to arrive at the total compensation. This method may be combined with a fixed fee or per diem compensation for the personal services of the consultant's staff if considerable time of such staff is required. It is difficult for the client to budget unless a maximum compensation is

included. This arrangement has the advantage of removing the greater part of uncertainty from the consultant's calculations in a large undertaking while offering the client a simply method of determining and auditing fees as well as maximum feasibility in establishing the scope of services that he or she needs.

4. *Per Diem Fees.* This method may apply to any of the consultant's personnel, including its principals. It always requires explicit understanding as to what constitutes a "day" and how travel time and expenses are to be allocated. This arrangement is especially advantageous for irregular or indefinite assignments, such as providing testimony concerning a survey's results to a

preservation review board.

5. *Contingency Fee.* This method involves work by the consultant on the basis of compensation to be determined later and measured by the benefits accruing from the service. This is a difficult method for use in planning studies. It requires contractual agreements that will clearly disclose the basis upon which the contingency fees will ultimately be computed. This method would be unethical in all cases where the consultant offers expert testimony or where he or she is required to appear as an impartial expert rather than as an advocate.

PROFESSIONAL QUALIFICATIONS

The following definitions have been developed by the National Park Service to help States, communities, Federal agencies, and others identify qualified professionals in the disciplines of history, archeology, architectural history, and historic architecture. In some cases, additional areas or levels of expertise may be needed, depending on the complexity of the tasks involved and the nature of the historic properties. It should be noted that 1 year of full-time professional experience when stipulated below need not consist of a continuous year of full-time work, but may be made up of discontinuous periods of full-time or part-time work that add up to the equivalent of a year of full-time experiences.

A. History

The minimum professional qualifications are a graduate degree in history or a closely related field; or a bachelor's degree in history or a closely related field plus one of the following: (1) at least 2 years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; or (2) substantial contribution through research and publication to the body of scholarly knowledge in the field of history.

B. Archeology

The minimum professional qualifications are a graduate degree in archeology, anthropology, or closely related field plus (1) at least 1 year of full-time professional experience or equivalent specialized training in archeological research, administration, or management; (2) at least 4 months of supervised field and analytic experience in general North American archeology; and (3) demonstrated ability to carry research to completion. In addition to these minimum qualifications, a professional in prehistoric archeology shall have at least 1 year of full-time professional experience at a supervisory level in the study of archeological resources of the prehistoric period. A professional in historic archeology shall have at least 1 year of full-time professional experience at a supervisory level in the study of archeological resources of the historic period.

C. Architectural history

The minimum professional qualifications are a graduate degree in architectural history, art history, historic preservation, or a closely related field, with course work in American architectural history; or a bachelor's degree in architectural history with concentration in American architecture; or a bachelor's degree in architectural history, art history, historic preservation, or a closely related field plus one of the following: (1) at least 2 years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; or (2) substantial contribution through research and publication to the body of scholarly knowledge in the field of American architectural history.

D. Architecture

The minimum professional qualifications in architecture are a professional degree in architecture plus at least two years of full-time practice in architecture; or a State license to practice architecture.

E. Historical architecture

The minimum professional qualifications are a professional degree in architecture or a State license to practice architecture, plus one of the following: (1) at least 1 year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field and at least 1 year of full-time professional experience on preservation and restoration projects; or (2) at least 2 years of full-time professional experience on preservation and restoration projects. Experience on preservation and restoration projects shall include detailed investigation of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

No official standards have been established by the Secretary of the Interior for such preservation-related professions as landscape architecture and cultural anthropology. In reviewing the qualifications of such professionals, approximate equivalences to the qualifications listed above should be looked for, and professional organizations in the specialties involved should be consulted.

How do non-professionals fit into a survey?

Although a survey should be supervised by professionals, there is no reason that volunteers and others without professional training in the preservation disciplines cannot carry out much of the survey work. The use of volunteers from the community is important because it can bring to the survey people with specific knowledge of the community's history and resources, help ensure public support for the project, and reduce costs.

Ways in which community volunteers can participate fruitfully in survey include the following:

Historical Research

People with avocational interests in local history may have already gathered much of the primary data needed to interpret the community's history and establish historic contexts. People with training or skill in library work will be highly efficient historical researchers. People with background or interests in environmental studies or soil science can be helpful in reconstructing the community's past environments, which is often of vital concern in identifying likely archaeological site locations. If recording oral histories will be part of the project, personable people who are able to carry on a good conversation, listen well, and record what they hear will be welcome members of the survey team, whatever their background.

Field Survey

Field survey work can be carried out by people from any kind of background, provided they are appropriately supervised and trained. The only major prerequisites are the abilities to understand and follow instructions, to be reasonably observant, and to be able to fill out recording forms and take other notes clearly, accurately, and completely. Naturally, the more observant, thoughtful, and interested in historic resources a field surveyor is, the better the product is likely to be. Specific skills that can be tapped among volunteers that are of great use in field survey include cartography, drafting, photography, operation of such excavation equipment as power augers and backhoes for archeological testing, and first-hand knowledge of local architectural styles. Simply knowing the community and its people, of course, and being known by them, can be of great value to the survey effort, simplifying communication about the survey and its purposes, making possible access to properties where study is needed, and opening up sources of historical information.

Handling Survey Data

Evaluations of properties to determine their historic value should be done by professionals, or under direct

professional supervision, but non-professionals can participate in the evaluation process in many ways. Evaluation is a subjective activity, and should be responsive to community values, particularly where the value of resources may lie in the contribution they make to the cultural integrity of the community or its neighborhoods. Community leaders and residents can and should work with professionals to define the resources that they perceive to be important to the history and character of the community, and the same sort of consultation with the people of individual neighborhoods can make vital contributions to the definition of particular historic districts.

Volunteers and other non-specialists in the preservation disciplines can also help work with the survey data in other, less subjective but equally important ways: carrying out the clerical work of organizing the data, coding data for computer storage and manipulation, and preparing publications. Specific useful skills include typing, word processor operation, general clerical skills, knowledge of computer science, use of darkroom equipment, editing, and design and layout.

If a community's efforts at public involvement in survey planning are successful, volunteer participants in the survey may be recruited from a diversity of sources. Civic and fraternal organizations and organizations representing particular interested professional groups (e.g. building contractors) may make the survey an activity to which their members donate their time. College and secondary school history, anthropology, and social science students may be encouraged to participate. Members of neighborhood organizations and organizations representing particular social or ethnic groups in the community may donate their time. Local historical and archeological societies may provide the backbone of the survey work force.

Organization and supervision of volunteers may be one of the major jobs of the survey leaders and should be carefully considered in preparing scopes of work and negotiating contracts. It may be appropriate to organize volunteer coordinating committees in various neighborhoods or other survey areas, or committees of people interested in different aspects of the survey process. To the extent such groups can be organized during survey planning, coordination of actual volunteer work on the survey will be facilitated.

Professional-Volunteer Relations

Volunteers' work should be reviewed at regular intervals during the survey process and periodic meetings should be held to discuss and evaluate progress. In this regard, it is vital that there be a clear understand-

ing of the relationship between volunteers and professionals from the outset. To avoid wasted effort and ill feelings, it is necessary for each participant in the survey, whether volunteer or professional, to understand and respect the work of the other participants.

The more thoroughly volunteers are trained, the greater their contribution to the survey will be. The precise nature of the training program undertaken will depend on the particular situation, but every program should emphasize the need for thoroughness, consistency, and accuracy. Because the usefulness of the survey will depend in large part on the reliability of

information gathered, the need for careful training and close supervision of volunteers cannot be over-emphasized.

For guidelines and assistance in locating and organizing volunteers, a community may find it useful to contact Volunteer: The National Center for Citizen Involvement, 1111 North 19th Street, Suite 500, Arlington, VA 22209, or Post Office Box 4179, Boulder, CO. A good general reference work on the use of volunteers is Adams' *Investing in Volunteers* (see Bibliography).

What kind of training will ensure a consistent and high-quality survey?

The amount and type of training necessary will depend on the previous experience of those who are to conduct the survey, and on the aspect of the survey in which those being trained will participate. Although training will be needed primarily by volunteers and other non-professionals in the preservation disciplines, professionals too may need at least a brief orientation to the specific problems of the survey and the community.

Training should emphasize the need for thoroughness, consistency, and accuracy in all aspects of the survey, including historical research, field survey, and organization of survey data.

Training should be designed to:

- Convey the goals and objectives of the survey.
- Convey the interrelatedness of historical research and field survey work and a sense of how each contributes to the quality and usefulness of the survey.
- Acquaint researchers and field surveyors with the historical development of the survey area and its present physical character.
- Give a clear idea of the specific historical and cultural information relevant to the survey.
- Indicate the location of source material.
- Teach the skills of visual analysis, an awareness of environmental and architectural elements.
- Teach recording and mapping techniques.

Training sessions should familiarize both historical researchers and field surveyors with the broad physical and historical development of the area. Everyone involved in the survey effort should, in addition, have an opportunity to visit and become familiar with the survey area. Training sessions and on-site orientation sessions may be supervised by the survey coordinator or a trained professional familiar with the survey area.

On-site orientation as part of training can make clear which properties or areas researchers and surveyors will be responsible for and how these will be covered during the intensive survey. This overview of the character of the area and distribution of kinds of resources in it will help surveyors identify areas and isolated buildings that will require considerable attention, plan their method of approach, and budget their time. During the actual field survey, of course, the surveyor will be able to return for a careful examination of buildings, structures, sites, and districts.

Training for Archival Researchers

Archival research involves the development and refinement of historic contexts and the acquisition of information that can aid in the identification and evaluation of resources. Training should enable historical researchers to recognize the kind of historical data relevant to the survey project. The researchers should also understand how research information fits into the project as a whole, how it is to be recorded, and how it will be organized later. Careful coordination between research and field survey can be effected only if researchers understand both the nature of the research required and the way research and field survey efforts will be coordinated.

When conducting archival research, it is very easy to become overwhelmed by the sheer volume of information available, and to become so involved in tracing minutiae that one loses track of the main points of the research. Supervision is important to keep researchers on track: researchers should begin with a clear understanding of the questions the research is designed to answer, the patterns or trends it is seeking to identify, and the results it is the expected to produce.

Depending on the size of the group and experience of the researchers, training might ideally consist of several lectures and field or lab sessions designed to familiarize trainees with the sources of information available and specific assignments to provide practice

in actual research. Lectures could provide research trainees with an understanding of the kinds of information they will be gathering.

Researchers should be given a thorough understanding of the historic contexts that have already been established during survey planning, and oriented toward seeking information about how each historic context might be expressed in the actual distribution and nature of historic resources. This will involve understanding and studying such topics as:

1. the time range and geographic limits of the historic context;
2. the social, cultural, economic, environmental, and other characteristics of the historic context;
3. the physical resources that might represent the context, for example, the kinds of structures that were built during a particular period of the community's growth, and the parts of the community in which they were concentrated; and
4. the changes that have occurred in the community and its environment that might reveal or obscure the physical record of the historic context, for example, periods of modernization when older buildings were covered with new siding, episodes of natural or artificial landfilling that might have buried prehistoric sites, and areas in which erosion or human excavation may have revealed such buried sites.

Researchers should also be instructed in the development of new historic contexts, organizing their research around such topics as:

1. trends in the settlement and development of the community and its region;
2. major events, significant groups, and leading individuals in the community's history;
3. aesthetic and artistic values that may be represented in the architecture, landscape architecture, construction technology, or craftsmanship of the community;
4. cultural values and characteristics of the community's social and ethnic groups; and
5. research questions of concern to scholars in the humanities or social sciences who have studied the community, its region, similar areas, or relevant problems in history, prehistory, geography, sociology, and other disciplines.

Field or lab sessions should be scheduled to familiarize researchers with the physical layout of the survey area and to give them an understanding of how to correlate their activities with those of the field surveyors. There should be specific discussion and practice in how to use field survey or special research forms.

Researchers should be made familiar with the types of historical information already known to be available in local and regional libraries, archives, and other sources, and through State and Federal agencies and organizations. Sessions might be scheduled at the local library to learn about types of general information and special collections such as manuscript, rare book, and photographic collections, and at the city or county courthouse where research on tax lists, building permits, plot maps, wills and deeds, etc. could be explained. A visit to the local historical society may familiarize trainees with another important source of information. Attendance at local preservation commission meetings and familiarity with the local review process, criteria, and design guidelines may supplement the trainees' understanding of the local needs and uses for survey data.

Individual assignments may be made to provide the group of researchers with more specific information and enable them to practice their research skills. They might be assigned specific practice tasks pursuing a small scale research topic already well enough known to the trainer to permit evaluation of the researcher's techniques and results.

Training for Field Surveyors: Architecture

Specific training sessions should be designed to acquaint field surveyors with (1) appropriate architectural terminology, (2) construction techniques and practices peculiar to the area, (3) local architectural features or styles, (4) survey techniques that will be used, (5) photographic coverage and equipment, and (6) actual maps and survey forms that will be used. Slide talks or films, with particular attention to local architecture, reading assignments, and the completion of practice forms, are all appropriate training methods. Familiarity with building styles should enable the surveyors to identify approximate ages of buildings in the survey areas and to describe them accurately. Inevitably, there will be regional variations in styles and buildings that cannot be described using standard terms, but as much as possible, standard architectural historical terms rather than more interpretive or *creative* terminology should be used. Particularly in rural areas or small towns, efforts should be made to make surveyors familiar with vernacular (as opposed to *highstyle*) building forms. They should be familiar with local styles and with plan and building types found in the area.

Many State Historic Preservation Officers have prepared identification guides to historic building types that are common in their States, and will be able to assist in using or adapting these in the training of field surveyors.

Some familiarity with building materials and methods is also important. Surveyors should be able to identify various building materials and know something about construction techniques.

Surveyors should also be acquainted with the terminology for detailed parts of buildings. Harley McKee's *Amateur's Guide to Terms Commonly Used in Describing Historic Buildings* and similar guides (see Bibliography) should assist surveyors in developing a vocabulary of architectural terms.

Identification and description of historic districts require special skills and may better be left to surveyors with specific experience and training. Training sessions, however, should attempt to make laymen aware of the qualities (visual, architectural, physical, spatial, social, etc.) that may make an area recognizable as an historic district. Surveyors should be taught to see how buildings, open spaces, natural features, roads, and other aspects of the environment interact to create particular urban or rural configurations, and how to conduct a precise visual analysis of those elements and their interrelationships. An effort should be made to convey an appreciation for the ways in which the cultural characteristics of a social group or period in a community's history may be reflected in its buildings and the organization of its spaces. Readings drawn from the literature of urban design, urban geography, anthropology, and environmental design, in addition to practice sessions in the field, should provide surveyors with a general approach and models of analysis (see Bibliography).

Surveyors should be taught to be alert to the *archeological* value of buildings and their contents—that is, their potential for producing information useful in important historical, anthropological, or sociological research. Particularly if the survey will involve the inspection of building interiors, surveyors should be taught to be on the lookout for such building contents as furniture, collections of papers, wallpaper, graffiti, industrial equipment, tools, and the organization of objects in buildings and structures that may reveal aspects of the lives of those who built, lived in, or used the space in the past.

Where landscape architecture is a concern of the survey, surveyors will need training in the kinds of landscape features to be recorded. If the primary focus of this aspect of the survey is on designed and constructed landscapes (e.g., parks, parkways, and landscaped housing tracts), background information on the design characteristics and concepts used by the landscape architects responsible for them should be provided to surveyors, so they can recognize and interpret such features when they see them. The American Society of Landscape Architects' Historic Preservation Committee (see address on p. 19) has developed forms that may be used in recording designed landscapes. Where non-designed cultural landscapes are the focus of attention—e.g., well-preserved agricultural areas—fewer guidelines are available, but training should be provided in the natural geography of the study area and in the historical land uses that have shaped it. An excellent

example of a study of such an area, which might usefully be studied during training, is Allen D. Stovall's preservation study of the Santee and Nacoochee Valleys in Georgia (see Bibliography).

Training for Field Surveyors: Oral history

Where the collection of oral historical information is important to the project, researchers should be given specific training in interview techniques, use of questionnaires (if used), use of recording equipment, and—very importantly—ways to avoid giving offence to those interviewed. Where the collection of oral data will take place in an ethnic neighborhood, researchers should be made aware of and sensitive to the social and cultural values of the neighborhood's residents.

Training for Field Surveyors: Archeology

Where the identification of prehistoric archeological sites is a focus of the survey, since such sites are almost always substantially underground, surveyors should be trained to look for surface indications of their presence and for conditions under which buried material may be exposed. Depending on local conditions, prehistoric sites may be marked on the surface by soil discolorations, fire-fractured rocks, scatters of pottery, flaked stone, and other debris, and concentrations of marine or freshwater shell. Stream cuts, drainage ditches, utility trenches, road cuts, and basement excavations may reveal buried sites. Surveyors should be trained to recognize typical local archeological phenomena (housepits, burials, middens, hearths, etc.) in such buried contexts, and should be taught basic concepts of stratigraphy and soil formation. They should be taught to recognize common prehistoric artifacts of the area, and to understand, in general, their functional, temporal, and cultural contexts.

Where the identification of archeological sites of more recent periods is involved, surveyors should be given training similar to that appropriate for prehistoric archeology, but with special attention given to the recognition of artifacts, construction techniques, building styles, and other features specific to the periods under study. They should be taught to be alert to such features as filled-in basements, wells, and privies, which are often important sources of archeological data.

An excellent handbook on the identification of prehistoric and historic archeological sites, oriented to the lay reader, is *Archeological Resources and Land Development* by Paul Brace (see Bibliography).

Where the *archeological* value of standing structures is important to the survey, surveyors should be trained in the recognition of architectural features, contents of structures, and spatial relationships within structures

that may reveal aspects of their use, their history, and the social organization, economy, values, perceptions, and activities of their builders, residents, or users.

Close interaction between archeological surveyors and historical researchers should be stressed, because

historical study of the community and its environment is vital in allowing archeologists to focus their efforts in areas most likely to produce results, and because archeological discoveries in the field may suggest fruitful lines of historical inquiry.

How much should a survey cost?

Communities should draw up a detailed budget of survey expenses before undertaking any phase of the project. Some of the factors affecting the size of the budget—time, available funding, size of survey area, type and depth of information to be gathered—have already been discussed. Other factors, including salaries for personnel, administrative expenses, and publications, will be discussed in later chapters.

Survey costs can be reduced by using large numbers

of volunteers, by reducing the level of professional supervision, by eliminating publication of survey results, or by simply cutting the size of the survey area. Such cuts, however, can affect the quality of the data gathered and undermine the usefulness of the results. Professional advice and assistance from the State Historic Preservation Officer in the initial stages of the survey project can help a community draw up a budget that is both accurate and reasonable.

Where can funding for surveys be obtained?

Because of the usefulness of survey data to community planning, and because of the economic stimulus that the rehabilitation of historic buildings can provide a community, financing a survey may be a good investment for local government. A variety of Federal, State, and non-governmental programs provide funding assistance to survey projects, however.

Many local governments allocate Community Development Block Grant funds to the conduct of surveys. Historic preservation grants-in-aid passed through by State Historic Preservation Officers to certified local government preservation programs or allocated directly to survey projects are also frequently used sources of assistance. Other Federal agencies from time to time make funding available to support surveys, often in the context of specific development projects. Some State governments provide financial assistance to survey efforts, either through the State Historic Preservation Officer or in connection with economic development and planning assistance programs.

Funding for specific projects can often be obtained from such Federal granting agencies as the National Endowment for the Arts and the National Endowment for the Humanities. Support for particular projects and programs may also be obtainable from such non-Federal sources as the National Trust for Historic Preservation, the American Association for State and Local History, and private foundations that support research in the arts, humanities, and social sciences.

The State Historic Preservation Officer will be able to provide current information on potential sources of

financial assistance. Other good sources of information include economic development officials in local and State governments, National Park Service Regional Offices, and grants and contracts offices in local colleges and universities.

The following publications, which are updated regularly, may be helpful in locating sources of funds:

Annual Register of Grant Support. Edited by Alvin Renetzsky and others. Orange, NJ: Academic Media.

The Brown Book: A Directory of Preservation Information. Prepared by the National Trust for Historic Preservation. Washington, DC: The Preservation Press.

Catalog of Federal Domestic Assistance. Washington, DC: Government Printing Office.

Federal Funding Guide. Arlington, VA: Government Information Service.

Foundation Directory. Prepared by the Foundation Center. New York: Columbia University Press.

A Guide to Federal Programs. Prepared by the National Trust for Historic Preservation. Washington, DC: The Preservation Press.

National Directory of Arts Support by Private Foundations. Washington, DC: Washington International Arts Letter.

Conducting the Survey

Conducting a survey involves three sets of activities: archival research, field survey, and recording of information. Although archival research begins before fieldwork, and much information is recorded as the result of fieldwork, all three activities will normally be going on at once; those conducting them should interact and provide each other with advice and suggestions. Archival research will indicate what to look for and what to record, and fieldwork and recordation will identify information needs

to be pursued in archival research. Survey leaders will be responsible for ensuring that all facets of the survey are effectively integrated.

This chapter will discuss each of the major aspects of survey in turn, and will also present recommendations about such practical matters as how to equip a survey team.

Archival Research

Archival research—the study and organization of information on the history, prehistory, and historic resources of the community—is a vital part of the survey. It is on the basis of archival research that historic contexts are established and refined, providing basic direction to the field survey. Archival research makes it possible to predict where different kinds of historic resources will occur and what their characteristics may be. Archival research provides the information needed to place historic

resources in their historical and cultural contexts, as a basis for evaluation. Archival research probably will have been carried on during survey planning, but in most cases it will be necessary to continue it during the survey operation itself, to follow up on issues identified during planning, to flesh out historic contexts, to explore new contexts, and to provide input to the field survey process as questions develop about specific areas and properties.

How should archival research be organized?

The mass of archival data relevant to the history of a community is likely to be voluminous, and can easily be overwhelming. It is vital to keep the archival research effort clearly focused on data relevant to the survey goals.

The concept of *historic context*—that is an organizational framework of information based on theme, geographical area, and period of time—is recommended as the basis for organizing information pertinent to the research design and survey results. A survey may focus on a single or several historic contexts and may identify properties relating to a single, several, or many property types depending on the goals of the survey. Historic contexts may be based on the physical development and character, trends and major events, or important individuals and

groups that occurred at various times in the history or prehistory of a community or other geographical unit.

It is wise to develop a written research design at the outset, that establishes goals and directions for the research. In preparing the research design, survey leaders should consult the *Secretary of the Interior's Standards and Guidelines* concerning development of historic contexts, archival research, and historical documentation. Several major principles should be kept in mind:

- Historical research and survey work already done should be incorporated into the new project and complemented, not duplicated unless there is a need to check its accuracy, refine it, or revise it.

- The level of detail of archival research should be matched to the scale of the survey. (For example, if the survey is an initial reconnaissance of an entire community, archival research should be oriented toward the identification and description of general trends, groups, and events in the community's history, and their known or likely effects on the community's development. If the survey is an intensive study of a smaller area, archival study may be a much more detailed effort to reconstruct the specific history of particular properties, areas, and groups of people.)
- The archival research effort should be focused, at least initially, on developing and refining the historic contexts established during survey planning.
- The type of study should be matched to the goals of the survey. (For example, if the survey is concerned exclusively with standing structures, there may be little need for archival research in prehistoric archeology.)
- While encouraging focussed research, survey leaders should be sure that the archival research project maintains sufficient flexibility to recognize and pursue new historic contexts that may be identified in the course of the work.

The research design should specify:

- the geographic area(s) of concern;
- the historic context(s) of concern;
- research questions or issues to be addressed with respect to each historic context;
- previous research known to have been done on such issues;
- the amount and kind of information expected to be needed to address the historic context;
- the types of sources to be used;
- the types of methods to be used;
- the types of personnel likely to be needed; and
- where possible, expectations about what will be learned, or hypothetical answers to major research questions.

With the research design in hand, it should be possible to make realistic decisions about assignment of staff, allocation of time and budget, and other practical organizational matters.

As a rule, archival research should be organized into the following steps with reference to each historic context under investigation:

1. Assemble existing information, including both information about previous surveys and historic resources already identified, and more general primary and secondary data, as discussed below. It is

not necessary to ferret out every conceivable piece of available information before taking further steps, but beginning to assemble information into an organized whole, identifying sources and finding the relevant bodies of data in each, is the first general step in the archival research process.

2. Assess the reliability of the information as it is assembled, identifying possible biases and major gaps in data.

3. Synthesize the information in usable form, with reference to the issues important to the historic context. Generally such issues will include the reconstruction of trends in the settlement and development of the area, the definition of cultural values that may give significance to historic properties, the definition of architectural, aesthetic, and artistic values that may be embodied in such properties, and the pursuit of research questions in the social and physical sciences and the humanities.

An understanding of the physical development of the community will provide researchers with a broad historical, architectural, archeological, and cultural context for research undertaken on particular properties. Evidence of the evolving plan and character of a community can be seen in the pattern of streets as laid out and modified, and in the location of transportation systems (canals, trolley lines, railroads, etc.), industries, institutions, commercial and residential areas, and reserved public spaces and parks. The kinds, size, and scale of buildings and structures, methods and materials of construction, and architectural forms and styles should be considered in defining the character of a community.

The location of natural resources, soil types, availability of power and fuel, and accessibility to transportation systems were factors that frequently contributed to the siting and development of towns and cities. The development of agriculture, mining, or other activities that shaped the form of rural communities or small towns should be considered.

Events significant in the community's history may be represented by the existence or location of particular buildings. Sites of events, such as commemorative occasions, famous battles, historical debates, theatrical performances, or political speeches, should be identified. Research should be done not only on properties associated with familiar figures—leading politicians, educators, and business persons—but also on groups or individuals important for their contribution to the arts, literature, philanthropy, agriculture, engineering, and other areas. Properties associated with the social, economic, and ethnic groups that have contributed to the community's history and cultural diversity should also be identified. It is of great importance to try to understand the general trends and patterns of social, economic, and cultural development that have

characterized each period of the community's past and its resident groups. Properties associated with activities important to a community's development and perhaps distinctive character, such as ethnic settlement, agriculture, transportation, mining, local government, education, county or local government, or maritime trade should be identified.

Trends reflected in existing cultural properties may include emigration, population shifts, changing economic and labor systems, reform movements, status of minority groups, development of industrial and technical processes, and important religious developments. Research on individual properties includes such items as architect, engineer, and date and cost of construction. Depending on the intensity of the survey effort, researchers may attempt to consider reasons for the use or introduction of particular styles, materials, or methods of construction in specific properties.

4. Identify the types of historic property that may be associated with the historic context. For example, a given period may be characterized by the construction of particular kinds of buildings expressing particular architectural styles; a particular social or ethnic group important in the community's history may have organized its buildings and neighborhoods in particular ways; a particular cultural group in prehistory may have had certain kinds of villages, agricultural stations, and campsites that now are represented by different kinds of archeological sites.

5. Determine how each type of property is likely to be distributed within the community. Sometimes this is a simple matter: for example, historic port facilities will likely be close to the water, or it may be well documented that urban growth followed the development of streetcar lines or streets. In other cases determining likely distributions may be more complicated; for example, predicting the distribution of prehistoric sites requires knowledge of the prehistoric natural environment, which may be hard to reconstruct, and at least general theoretical notions about how prehistoric peoples would have carried out their activities in that environment. Historic maps, atlases, and plats may assist in determining the likely distribution of historic properties, particularly where subsequent growth has altered the terrain, plan, or layout of a community or area. Areas in which particular kinds of historic resources are expected should be clearly identified and mapped, so that the expectations can be tested in the field. Often it will be useful to develop maps or map overlays showing locations where different kinds of historic properties are likely to occur, so that these can be easily checked on the ground.

6. Establish the likely current condition of the property types. Were the buildings of one period or style built of stone and brick, while those of another were built of wood? Is this likely to have resulted in the

preservation of buildings of the first period and the loss of those of the second? Did the downtown burn at some point in the past, destroying all its commercial buildings constructed before the date of the fire? Is it likely that archeological remains of these buildings are still in place? Were many older buildings in town covered with anodized aluminum during modernizations in the 1950s? What is the likelihood that their original architectural elements have survived under their new skins? Have some neighborhoods been well kept since their establishment? Have others suffered major deterioration, arson, or spot demolition? Have some areas, likely to contain prehistoric or more recent archeological sites, been covered with fill and low-density housing built on slabs, possibly preserving the archeological sites beneath? Have other such areas been the scenes of deep basement excavation, probably destroying all archeological remains? Here, too, it is often useful to present such information on maps or map overlays.

7. Identify information needs to be satisfied by fieldwork. What should be known about the historic context and its resources that can be found through the field survey? These needs should be used to guide the fieldwork.

PREDICTIVE MAPS OF ARCHEOLOGICAL SITES

Predictions of the general location of archeological sites may be among the most useful products of archival research, since such resources are often invisible from the surface of the ground in urbanized areas. Such predictions are often most conveniently presented in map form. For example, for a hypothetical example, general environmental data and information on prehistoric and early historic settlement patterns suggest that levees along the banks of streams are good places for prehistoric settlements to have existed, and early explorers' accounts indicate that a village did exist in such a location within what is now the community being studied. Later, according to the town's records, a hotel was built on the same general location, which became important in the town's early political development. The hotel survived into the early 20th century, when it burned along with other buildings in its vicinity; old news accounts indicate that its superstructure was demolished and pushed into its cellar. The site was levelled, and was unoccupied until the 1950s, when an office building, still in use, was constructed with a deep basement. A few years later, during channelization of the adjacent creek, newspaper accounts and a local amateur archeologist's notes report that Indian artifacts were found, tending to confirm both the early explorers' accounts and the predictions from environmental data about where Indian sites were likely to be. All this information can be combined to produce a map showing where it is most likely that the remains of the Indian village, possible other prehistoric sites, and the remnants of the hotel may be found underground.

What sources of information should be consulted?

Researchers should use both primary and secondary sources in compiling historical data for the survey. If a comprehensive survey is being planned, primary sources will be consulted frequently; surveys limited by time and money, however, will rely heavily on secondary sources. In either case, it is essential that the sources consulted be reliable and accurate.

Primary, or original, sources include actual material that has been preserved from the period of interest: written or published documents and graphic material, as well as the artifacts themselves. For an in-depth survey, original sources will usually provide a more complete and accurate picture of the community's history than will secondary sources.

Records of the community's physical development may be found in:

- back issues of local newspapers and periodicals
- family papers and records
- accounts of travelers
- early ethnographic accounts
- church histories
- industry and business records
- records on publicly financed construction
- school records
- city and county commercial directories
- census reports
- telephone books
- tax rolls
- deeds and wills
- interviews
- keepsakes, letters, and personal diaries
- ledgers, cancelled checks, and receipts

Researchers should also be on the lookout for graphic material (plat maps and other historical maps, old photographs, bird's-eye views, and historical prints) which can provide information that corroborates or clarifies the results of field survey work. Old maps and insurance atlases, such as those published by the Sanborn Map Company, Inc., New York City, identify buildings existing at a certain time and document changes through subsequent printings. These can provide the field team with an initial list of sites and structures to be investigated.

Old photographs may provide evidence of changes and additions and allow the field team to cross-check their own observations, questions, and deductions



Historic drawings can be a good source of information about the appearance of properties and areas at a particular point in time. Magnolia Ranch, Cowley County, Kansas. (drawing from Everts Atlas of Kansas, 1887, Kansas State Historical Society)

about particular properties. Aerial photographs can also be used in carrying out survey work, in establishing boundaries of an historic district, in pinpointing location and property lines of individual properties, and in analyzing the street patterns, open-space development, and growth of the area.

The Agricultural Stabilizing and Conservation Service (ASCS) of the U.S. Department of Agriculture has been taking aerial photos of approximately 80 % of the country regularly since 1940; areas are rephotographed every 6-8 years. Photos are usually available for viewing at local ASCS offices, which can also provide ordering information. The National Archives in Washington, DC, has converted much early aerial photographic coverage of the Nation to modern chemically stable film and archived it for viewing. The National Aeronautics and Space Administration and National Oceanic and Atmospheric Administration maintain files of more recent aerial photographs and satellite imagery. The latter, usually available in forms suitable for computer enhancement and manipulation, can be particularly useful in identifying soil contexts and environmental indicators that may suggest the presence of archeological sites. For information on the use and availability of such remote sensing data, consult the State Historic Preservation Officer or the Regional Office of the National Park Service.

Where subsurface archeological resources are involved, a different kind of primary data may be important as a supplement to the sources discussed above. Primary archival information relevant to subsurface archeological sites may not actually have been produced during the period of interest (for prehistoric periods, by definition it could not have been). Instead such information has usually been produced during

more recent periods, but can be used to reconstruct important characteristics of the period under study and its resources. Often useful information sources include:

- Local soil maps, often available from the U.S. Department of Agriculture, Soil Conservation Service, through local Soil Conservation Districts or planning departments, which can be used to identify characteristics of the prehistoric and early historic natural environment (e.g. marshes indicated by poorly drained clay soils) and likely prehistoric site locations (e.g. well-drained soils near old watercourses where prehistoric agriculturalists might have had their villages and fields).
- Ethnographic studies of local Indian groups.
- Reports and fieldnotes of earlier professional and amateur archeologists.
- Aerial and satellite imagery that may reveal otherwise invisible aspects of the prehistoric or historic natural environment and such early human modifications of the land as roads, trails, fields, and irrigation systems.
- Old newspaper accounts of artifact finds during construction, basement excavation, and land levelling.
- Construction records of land filling and basement

excavation, which can identify areas where subsurface resources are likely either to have been preserved (by being filled over) or destroyed (by being excavated).

Secondary sources are those written by individuals who have studied and interpreted the available original sources. They generally provide a broad overview of the community's history but represent a later interpretation rather than a contemporary record of events or reflection of the spirit of the times.

Valuable sources include the following:

The *ongoing statewide survey* of historic resources significant in American history, architecture, engineering, archeology, and culture at the national, State, and local levels. This and additional State survey data are available from the appropriate State Historic Preservation Officer.

The *historic preservation plan* developed and maintained by the State Historic Preservation Officer, which often includes established historic contexts (sometimes called study units) with extensive organized and synthesized background data.

Inventories that may be maintained by the local or State offices of the Bureau of Land Management or the Forest Service, or by regional planning bodies or such State agencies as the State coastal zone manage-

SPECIALIZED RESEARCH ASSISTANCE

The organizations listed on page 19 as possible sources of information on professional consultants can often also provide information on sources of information concerning their areas of interest. In addition, the following societies and associations may be able to provide assistance in researching particular aspects of the survey area:

American Folklore Society, 1703 New Hampshire Avenue, NW, Washington, DC 20009 (oral history sources and methods, vernacular architecture, etc.).

American Society of Civil Engineers (ASCE), 345 East 47th Street, New York, NY 10017 (civil engineering works).

American Society of Mechanical Engineers, 345 East 47th Street, New York, NY 10017 (industrial features).

Center for Historic Houses, National Trust for Historic Preservation, 1785 Massachusetts Avenue, NW, Washington, DC 20036 (residential buildings).

Council of American Maritime Museums, c/o The Mariners' Museum, Museum Drive, Newport News, VA 23606 (ships, harbor facilities).

Council on America's Military Past (CAMP), P.O. Box 1151, Fort Myer, VA 22211 (military posts, battlefields, etc.).

Friends of Cast-Iron Architecture, 235 East 87th Street, Room 6C, New York, NY 10028 (cast-iron architecture).

Friends of Terra Cotta, P.O. Box 42193, Main Post Office, San Francisco, CA 94142 (terra cotta architecture).

League of Historic American Theaters, 1600 H Street, NW, Washington, DC 20036 (theaters).

National Association for Olmsted Parks, 175 Fifth Avenue, New York, NY 10011 (landscape architecture by Frederick Law Olmsted and his associates).

National Society for the Preservation of Covered Bridges, 63 Fairview Avenue, South Peabody, MA 01960 (covered bridges).

Oral History Association, North Texas State University, P.O. Box 13734, NT Station, Denton, TX 76203 (oral history sources and methods).

Pioneer America Society, Inc., c/o Department of Geography, University of Akron, Akron, OH 44325 (early American architecture).

Public Works Historical Society, 1313 East 60th Street, Chicago, IL 60637 (public works projects).

Railroad Station Historical Society, 430 Ivy Avenue, Crete, NE 68333 (railroad stations and related facilities).

Society for Applied Anthropology, 1001 Connecticut Avenue, NW, Suite 800, Washington, DC 20036 (oral history and ethnographic sources and methods).

Victorian Society in America, 219 East Sixth Street, Philadelphia, PA 19106 (Victorian architecture).

ment agency or environmental protection agency. These bodies of data can often be accessed by computer, and sometimes have been used by the agencies that maintain them to produce “predictive models”—that is, predictions about the likely distributions of archeological sites and other historic properties.

Local, regional, or State histories: monographs, pamphlets, or other material prepared by local or State historical societies or other groups concerned with particular aspects of State or local history (geneological societies, e.g., although researchers should be aware that the concerns of geneologists may not be directly related to the issue of establishing the significance of resources).

The records of the *National Register of Historic Places*, *Historic American Buildings Survey (HABS)*, and *Historic American Engineering Record (HAER)*, are available for review through the National Park Service or the Library of Congress.

The *American Guide Series (WPA)*, compiled and written by the Federal Writers’ Project of the Works Progress Administration, is one of the basic sources of information on communities, regions, and States. Originally published some 45 years ago, these guides contain detailed histories of their respective States, descriptions of their resources and industries, and selected points of interest for each community. A number of these guides have been reprinted within recent years and may provide useful background material for those beginning survey work within a community. Often, State, county, or city libraries

have retained the survey forms and research files which formed the basis for these guides.

The *Human Relations Area Files (HRAF)* provide abstracted and excerpted information on aboriginal societies, including American Indian groups, together with extensive bibliographic material. Many universities maintain copies of those portions of the HRAF that are pertinent to their research and teaching in anthropology and sociology. Inquiries at the anthropology department of local universities should reveal whether the HRAF or other ethnographic documents are available.

Anthropological and sociological works that provide theoretical models of prehistoric and historic social systems, economic systems, and settlement systems, on a regional, national, or worldwide context, that may be relevant to the historical contexts of the community.

Dissertations, theses, and other research papers on the history and prehistory of the area, available in college and university departments of history, anthropology, and archeology.

Reports of *oral history projects* carried out by local universities, colleges, secondary schools, and community organizations.

General works on the geology, geomorphology, ecology, environment, and land-use history of the region, which may help researchers understand natural constraints on, and results of, trends in the use of land and other resources in and around the community.

Where may primary and secondary information be found?

Libraries offer a rich source of information on local places and events and should be the starting point in undertaking historical research in a community. Libraries in larger towns and cities often house special collections relating to the history and development of the community, and local newspapers and journals provide valuable insights into personalities and events shaping the community’s physical environment. In addition, old newspapers and directories provide information about building materials, architects, and contractors; they may also list building permits or contain articles relevant to particular buildings.

Archives or public records at the local county courthouse or town hall usually provide census reports; abstracts and title deeds; surveyors’ notes; probate records, which include items such as bills of sale, debtors’ notes, wills, and household inventories; and tax records showing property improvements such as major additions or the actual construction of the house on taxed property. Land records, such as plat

maps, are also available from most county courthouses.

Universities and colleges are also good places to undertake research. University libraries often contain special collections or archival material not available in local libraries; faculty members in history, anthropology, and architecture departments may be able to direct researchers to other available sources, such as unpublished research papers and reports. Some State universities have collections that deal specifically with State history. Others have special research units that archive information on local historic or prehistoric archeology.

Museums usually have libraries and archives, and employ staff familiar with undertaking research. Local museums often collect regional artifacts—furniture, housewares, hardware—that can provide insights into their manufacture and owners, in short, the social history of the community. Some museums maintain significant collections of documented artifacts and

records concerning the archeology of the community or the region.

State and local historical societies are often important sources of information. Often such organizations are not particularly oriented toward historic preservation as such, but specialize in the collection and study of documents about local or regional history, and sometimes undertake oral history projects and other special studies. Some have distinguished publication programs; others maintain archives. Whatever their size, scope, and particular interest, they are likely to have gathered information that will be useful to the survey effort.

Local historic preservation or landmark commissions have increased greatly in number in the last decade. While such commissions are largely a phenomenon of the post-World War II years, a few date back to the nineteenth century. These organizations range from those supporting individual buildings to those operating and maintaining several—or an entire group—of historic structures, to those officially responsible on behalf of local government for historic preservation in the entire community. A number of commissions have undertaken their own surveys, and many maintain ongoing records of a community's growth.

State, regional, and local archeological societies often maintain files, notes, and libraries of information on archeological sites, excavations, and analyses. These are useful not only for determining the locations of potentially important properties, but also for gaining insights into locally important research questions and the nature of prior study in the area. The State Historic Preservation Officer should be able to provide the names and addresses of such organizations. These groups often limit access to their data in order to prevent it from falling into the hands of vandals and collectors; this concern should obviously be respected.

State and National Parks in the vicinity of the community may have archives of historical information, particularly if the interpretation of historic resources is among their purposes. Even if park personnel have not intentionally set out to collect such information, it is often donated to the park, and may deal with historical events and resources far beyond the park's boundaries.

The National Archives in Washington, DC, and in several regional repositories contain vast bodies of information developed or collected by Federal agencies over the years. The Archives may be particularly important to a local survey if the survey deals with Federal land or land formerly controlled by a Federal

agency, or land in which the Federal government has been indirectly involved (for example, through soil conservation or housing programs).

The Library of Congress houses the records collected by the Historic American Buildings Survey and Historic American Engineering Record (HABS/HAER). These are maintained by a program called Cooperative Preservation of Architectural Records (COPAR), at the Library of Congress in Washington, DC, and in regional repositories at Cambridge, MA, New York, NY, and San Francisco, CA. The Library of Congress also houses a tremendous collection of published and manuscript historical documents, and is the home of the American Folklife Center, which collects, studies, and archives documents, tapes, photos, videotapes, films, and other material on oral history, folk arts, folk crafts, vernacular architecture and industrial activities, and ethnography.

The National Cartographic Information Center (U.S. Geological Survey, Department of the Interior, Reston, VA 22091) is a good source of information on maps and other bodies of cartographic data.

Federal agencies may have useful information; for example, the U.S. Army Corps of Engineers may have information on local coastal environments and civil works projects that have been conducted along the coast or rivers in the past. Local military bases often have archives that contain information on the communities near which they lie. Local and State offices of the Forest Service and the Bureau of Land Management may have inventories of archeological sites and other historic properties in the area, and may have prepared predictive maps of their distribution that can be helpful to communities in the vicinity. The Soil Conservation Service and local Soil Conservation District offices are good sources of maps and reports on local soils and other aspects of the environment that may be useful in archeological survey.

Planning and development offices of local government or regional intergovernmental organizations can provide useful maps and reports on local demography, economics, and environmental matters.

Noninstitutional sources. Local industries and businesses may have records or histories of their operations, and local newspapers may have clippings or photograph files; these may be helpful to historians in tracing a community's commercial development. Neighborhood organizations may maintain archival data on the history of the neighborhood and its residents. Local residents themselves, especially those whose families have lived in the area for several generations, may keep family records and early photographs that could be useful in research.

Conducting Field Survey

As discussed in Chapter 1, field survey is usually divided into two types: reconnaissance and intensive survey. Sometimes both types are conducted as related parts of the same survey project; in other cases, reconnaissance is used to plan and focus later

intensive survey. For some planning purposes, reconnaissance may be all that is needed. In this section we will first discuss how to conduct a reconnaissance, then how to conduct an intensive survey.

How is a reconnaissance of above-ground resources carried out?

Assuming that the pattern of streets and roads in the community has remained fairly stable through time—perhaps expanding, but with relatively few rights-of-way being abandoned—it can reasonably be expected that most older buildings will be visible from modern streets and roads. As a result, the *windshield survey* is a common method of reconnaissance when historic buildings and structures are the subjects of interest. A windshield survey can also be efficient in the identification and initial description of historic districts made up of buildings, structures, and landscapes, and in the identification of major landscape features such as parks, roadways, and areas where distinctive land-use patterns have shaped the surface of the land.

In a windshield survey, surveyors literally drive the streets and roads of the community and make notes on the buildings, structures, and landscape characteristics they see, and on the general character of the areas through which they drive. Closer inspections are made on foot as needed, but the basic purpose of the reconnaissance is not to gain detailed information on particular structures or sites, but to get a general picture of the distribution of different types and styles, and of the character of different neighborhoods. Records taken on individual structures are usually abbreviated, but more detailed information may be collected on the general organization of the area being surveyed—its streetscapes, the general character of its housing stock or commercial buildings, representative buildings and structures, the layout of its spaces in general, the social, economic, and ethnic makeup of its residents. A good photographic record should be kept of the reconnaissance, with the subject of each roll and frame clearly identified. Audio and video recorders may be used to obtain rapidly general records of the area and its resources; where such media are used, it is important to keep careful records indicating which segments of which tapes apply to which areas.

Windshield survey is most effectively carried out by teams of two to three persons, one of whom concentrates on driving and covering the entire survey area efficiently. At least one other team member should be thoroughly familiar with local architectural styles; where nonprofessionals are used, training in local ar-

chitectural styles may be supplemented by use of a reference guide showing different styles and their characteristic elements. It will also be helpful to the reconnaissance if at least one member of the team is a resident of the area being inspected, or is otherwise personally familiar with its layout and social characteristics.

Windshield survey creates an unavoidable bias toward observing those buildings and structures visible through the windshield—that is, those facing the street. This bias should be kept in mind at all times, and the team should be alert to opportunities to note outbuildings and other structures that may ordinarily be masked from the street. Evidence of changes in the historic street and road pattern should also be looked for, both in archival research and in the field, since such changes may result in the isolation and masking of buildings that once were visible from rights-of-way.

Where the survey area is large, it may be appropriate to conduct a sample windshield reconnaissance. In this kind of reconnaissance, sample blocks, streets, or other units are selected that are thought likely to be representative of entire subareas of the survey area—residential neighborhoods or particular commercial areas, for example. These samples are then inspected using standard windshield survey methods, and used as the basis for generalizing about the resources of the various subareas. Care should be taken in selecting samples, to ensure that they are objectively chosen and likely to be truly representative. It may be helpful to consult with sociologists or others who have conducted surveys of other kinds in the area, and to apply their techniques or to use the survey units that they have selected. It may also be helpful to consult the extensive literature on sampling in such fields as human geography and archeology, examples of which are included in the bibliography.

One of the important functions of a reconnaissance is to identify the boundaries of areas that may become the objects of intensive survey—perhaps potential historic districts, perhaps portions of the community having distinctive architectural, planning, or cultural characteristics. Such boundaries should be clearly mapped by the reconnaissance teams, and *the basis for recognizing each boundary should be specified.*

For each area subjected to windshield reconnaissance, the notes resulting from the reconnaissance should document:

- the kinds of properties looked for;
- the boundaries of the area inspected;
- the methods used in inspecting the area, including notes as to any areas given special attention and any areas given less attention or not inspected at all;
- the general street plan of the area, and general observations on the area's visual, cultural, economic, and social characteristics;
- the general character of the area's architectural en-

vironment, with illustrations of representative buildings and structures, streetscapes, landscapes, and other relevant features;

- the kinds of historic buildings and structures observed, and data on any particular buildings and structures recorded in detail;
- the tentative boundaries of historic districts, and the known or likely locations of specific historic buildings, structures, sites, and objects; and
- the locations of any areas that appear not to contain any historic buildings or structures.

How is a reconnaissance for archeological sites carried out?

Where land is relatively built up, as is the case in most communities undertaking historic resources surveys, both prehistoric and early historic archeological sites are likely to be more or less invisible, buried under modern, created land surfaces and structures. As a result, archival research is especially important to the conduct of an archeological reconnaissance; quite often, the reconnaissance consists of nothing more than field-checking predictions made on the basis of archival research.

The first step in an archeological reconnaissance, then, is to develop *predictions* about where archeological sites are likely to be found. Such predictions are developed based on the following kinds of information, developed through archival research:

1. Information on prehistoric and early historic environments. By reconstructing the pre-modern natural environment, archeologists can develop a basis for predicting where earlier people could and could not have lived and worked. For instance, if much of a city is built on reclaimed land that once was a lake, the likelihood of prehistoric archeological sites in the reclaimed areas will be very low, but the probability of such sites on peninsulas protruding into the lake or along the ancient shoreline may be quite high. Information on early environments may be obtained from the accounts of early explorers or settlers, from previous archeological studies of the area, and through the analysis of soil maps that often are available from the Soil Conservation Service. For coastal communities, the U.S. Army Corps of Engineers often has detailed maps showing previous shoreline environments.
2. Data on prehistoric settlement patterns. If data are available on the ways in which earlier populations were distributed over the land, projections can be made about how the archeological sites they created will be distributed. Data may be found in ethnographic accounts, early historical documents,

and previous archeological studies. Care must be taken in making predictions on the basis of such data, however, because they are often incomplete, biased, or reflective of only one time period or social group among many. It is particularly dangerous to make predictions based on extant archeological information. Most archeological surveys conducted before about 1965, and many conducted thereafter, were designed not to record all archeological sites in the area being studied, but only to find convenient sites to excavate. Predicting from such data alone typically makes it appear that archeological sites are most often found along roads and close to parking areas.

3. Data on local history and land use. The history of the community should indicate what groups of people arrived at different times, where they lived, what sorts of activities they engaged in, and so on. Old maps will often make it possible to pinpoint particular vanished buildings, structures, and areas of population concentration. Compilations of local historical data may be biased, quite often emphasizing the history of leading citizens, the rich, and the powerful. Data on the less prominent social groups that contributed to the mosaic of the community's history may be harder to find. Detailed study of historic accounts, particularly old newspapers, journals, and other primary sources, and direct interviews with descendants of the groups in question may be necessary. Close coordination between archeologists and those carrying out any oral history component of the survey may be appropriate.

4. The history of land development and construction in the area. Where a particular area has been identified as the likely location of prehistoric or early historic activities or structures, information on the kinds of land development and construction that have taken place there will help archeologists determine the likelihood that evidence of them has survived in the form of archeological sites. Areas that have been covered only with relatively low-density housing,

especially without basements, are likely to contain the archeological remains of previous activities that occurred there, buried beneath fill and foundation slabs. Conversely, areas that have seen extensive basement excavation or other forms of major land disruption are less likely to retain intact archeological remains.

5. Information on previous archeological discoveries. In some communities, professional or avocational archeologists were on the scene before development took place, and recorded archeological sites that may now have disappeared under fill and structures. Discoveries of archeological material during construction, pipeline laying, and other development activities may be reported in newspapers. While the particular artifacts or other material discovered will have been removed from the ground, the fact that it was there may indicate that other material still exists nearby.

Areas predicted to contain archeological sites based on such information should be identified on maps and inspected. The ground surface should be closely examined to the maximum extent possible, and any locations where subsurface conditions may be exposed (road cuts, ditches, etc.) should be inspected. It may be appropriate to interview local residents or workers to find out if they have discovered artifacts. In most cases, some kind of subsurface testing will be necessary. In a reconnaissance, this will usually involve the use of powered or hand-driven augers or other probes, or the excavation of backhoe trenches. In some cases, test-pits excavated using hand tools will be feasible, though this is often not cost-effective where the surface has been compacted or filled with construction rubble. Sometimes ground-penetrating radar, magnetometers, and other remote sensing devices can be used to good effect.

Under non-urban or suburban conditions, reconnaissance fieldwork can be more general and inclusive. The same kind of background data should be collected as under urban conditions, and the same kinds of predictions attempted; these predictions will give the field teams a clear idea of what to look for. In the field, reconnaissance generally involves one of two approaches, depending on the size of the area being inspected. For relatively small areas, a reconnaissance may involve a simple inspection of the ground surface and any locations where subsurface conditions may be exposed (cut banks, etc.), to identify easily visible archeological remains and locations where more work may be necessary to determine what exists at depth (e.g., areas where the ground sur-

face is heavily obscured or buried). Where larger areas are involved, a sampling approach is often used. Sample blocks (often called *quadrats*) or transects are selected using a strategy designed to ensure that they are representative of the area as a whole. These are then subjected to intensive survey as discussed below. From the results of the intensive survey and archival research, generalizations are made about the likely distribution of archeological sites in the survey area as a whole. There is extensive literature on the use of sampling in archeological survey; for a summary designed for use by non-archeologists, see the National Park Service publication, *The Archeological Survey: Methods and Uses*.

At the reconnaissance level of survey, the data obtained may be sufficient only to determine, within reason, whether archeological sites in fact do exist within the area studied, and to determine their approximate locations, boundaries, and depth. More intensive study will often be needed to determine to what extent they retain integrity and to define their internal organization; in most cases, this kind of information will be vital to determining their significance.

The reconnaissance data, including a full description of the background research, its results, and the methods employed in fieldwork, should be fully documented as a part of the survey. At least the following items should be covered in the reconnaissance documentation:

- the kinds of properties looked for, with the archival or other basis for their definition and recognition;
- the boundaries of the area(s) inspected;
- the methods used, including identification of any areas inspected more or less thoroughly than others, and of any areas where special techniques to identify subsurface features were employed;
- the general character of the area's archeological resources, if any, as indicated by the results of the reconnaissance;
- specific information on any sites recorded in detail; and
- identification of any areas where, based on the archival research and field reconnaissance, it is concluded that no archeological sites will be found, with a discussion of the reasons for reaching this conclusion in each case.

How is an intensive survey for above-ground resources carried out?

In an intensive survey, the goal is to document all historic buildings, structures, sites, objects, and potential districts in sufficient detail to permit their evaluation and registration in the National Register of

Historic Places or a State or local equivalent. As a result, intensive survey involves the inspection of every such property in the area being studied. Only properties that can be clearly identified, on the basis



Historic significance is not usually apparent from visual inspection, as architectural significance often is. Historic research revealed that this small ranch in Horse Creek, Wyoming, is an exceptional representative example of small ranches that developed in response to the burgeoning agriculture of the county. Additionally, it is directly associated with the cattle ranching frontier. (Rick Alessandro)

of established criteria, as nonhistoric are not subjected to study. Where a historic district is being considered, it is important to note even nonhistoric properties as non-contributing elements.

As with reconnaissance, it is vital that intensive survey fieldwork be preceded and accompanied by archival research. As the survey progresses, archival researchers and field surveyors should continue to interact closely.

It is usually necessary to divide the survey area into manageable units, such as groups of city blocks or defined neighborhoods, and either to survey these one by one or to assign a team to each. The survey team should consist of appropriately trained and supervised workers, with the equipment necessary to prepare complete records (see section on equipment, below). The survey should be carried out essentially on foot; all major buildings and structures, and all out-buildings and other ancillary structures and objects should be inspected. Interiors should be inspected whenever possible to identify significant features. Where cultural landscapes are involved, these should be carefully described and mapped.

Normally, the survey will focus on the architectural or landscaped qualities of the properties involved, and will involve the description of each building or structure, each element of the cultural landscape, and, where applicable, each district or object, with reference to standard architectural and landscape architectural terminology. Even though the significance of a building or structure may lie in its association with historical events or people, it is important that it be described accurately in terms of the building style it represents, its mode of construction, and its architectural features. Naturally, however, where archival research suggests that properties may be important for their association with historical events,

trends, groups, or individuals, special attention should be given to aspects of each property that may reflect this association. Similarly, where a property may have special cultural value to a social or ethnic group (e.g., a traditional ethnic neighborhood), its description should emphasize any aspects of the property that reflect its value to the group.

Surveyors should be alert to the *archeological* value of buildings and structures—that is, the information they contain. To an archeologist, a building or structure is a complex artifact, created and used by people for activities that reflect their social, cultural, and economic needs and interests. The construction and organization of the building or structure, its modification through time, and the evidence of activities that occurred in it may all be important. For example, the way a house is constructed may reveal things about the builder's perceptions of how space should be organized. Modifications of the floor plan during the life of the house may reveal how occupants at different times wished to organize their life-space in response to changes in social conditions, population size, economic status, technology (e.g., the introduction of electricity), and so on. The things left in and around the house by its past occupants—furniture, papers, wallpaper, graffiti—may reveal facets of their daily lives, interests, preferences, and beliefs. Not only may the things themselves contain such information but also their organization within the house may indicate things about the occupants' view of themselves and their world. The ways in which we organize and fill our living spaces can reveal a great deal about how we view ourselves and wish to be viewed by others. John Collier (see Bibliography) discusses methods used by anthropologists to record and analyze the ways in which living people organize their life-space and work-space. The same general methods can be applied to abandoned spaces, but the

photographic methods used by anthropologists can be supplemented with measured drawings, maps, and plans. The importance of this information must then be evaluated within the broader context of our understanding of such cultural patterns and the existence of written documentary evidence.

The intensive survey should result in a detailed report form on each property, accompanied by appropriate photographs, drawings, and other documentation (see section on records, below).

How is an intensive survey for archeological sites carried out?

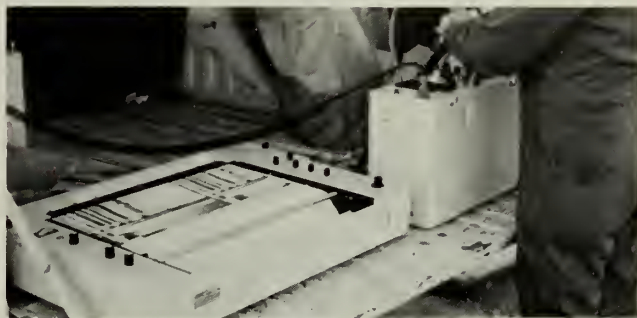
An intensive archeological survey is preceded by the same kind of archival research discussed above with reference to reconnaissance, but the research may be more detailed and involve a greater variety of sources.

In the field, in a built-up urban situation, the intensive survey like the reconnaissance is focused on locations where archival research suggests the possibility that archeological sites will be preserved, but the effort to find and characterize them is more detailed. The extent to which excavations can be conducted will, of course, be determined by the distribution of buildings, streets, utilities, and other modern features overlying the area of interest, but the general intent of the fieldwork is not only to determine whether archeological sites do in fact exist but to learn enough about their internal characteristics and integrity to permit their evaluation.

Care should be taken not to let excavation get so extensive that it seriously disrupts the archeological site being studied. *The purpose of excavation during a survey is to obtain enough information to allow the site's significance to be evaluated, not to recover all the data it contains.* In some cases it is legitimate to fully recover the data a site contains as soon as it is discovered, but such cases are not the norm.

In a nonurban or suburban situation, intensive survey generally involves detailed inspection of the entire survey area. Unless there is a very good reason for believing that nothing of archeological importance could exist in a given area (e.g., records have been found demonstrating that the area has been completely bulldozed, or has been underwater until recently), all exposed land surfaces are carefully and systematically inspected under professional archeological supervision. Team members, trained to identify things that might indicate the presence of an archeological site in the area, are deployed in such a way as to insure inspection of all land surfaces. Typically, team members lined up 5 to 15 meters apart (the distance depending on visibility) walk over the land scanning the surface. If the surface is obscured by vegetation, special techniques must be

Together with the results of archival research, these become the basis for evaluation and development of an inventory. The survey data produced by an intensive survey should also include basic categories of information similar to those collected during reconnaissance—specifying the kinds of properties sought, the boundaries of the area(s) surveyed, the methods employed, the locations and boundaries of identified properties, and the locations and boundaries of areas found to be devoid of historic properties.



Archeological remains can sometimes be discovered without excavation. Ground-penetrating radar is one example of a method to identify buried features. The radar unit is towed along the ground surface (photo 1), sending radar waves into the ground where they bounce back from features such as walls, fire pits, and concentrations of pottery. The received signals are translated by the unit into a series of graphs (photo 2), which can be used to guide excavation (photo 3). Ground-penetrating radar is highly sensitive to ground moisture conditions and other factors, and thus is not always reliable. But, under proper conditions, it can be a good and cost-effective way to explore possible archeological resources without digging. (Michael Roberts and Institute for Conservation Archaeology, Harvard University, for the Arizona State Museum and the Bureau of Reclamation)

used. The most common technique is *shovel-testing*, in which small holes are dug by each team member at regular intervals, and the contents inspected for artifacts, flakes of stone, bone, or other material that might indicate the presence of an archeological site. Power augers, backhoes, and other mechanized equipment are used in some instances. If the surface is obscured by leaves or other light cover, this may be effectively removed over large areas by raking or scraping. If the surface has been previously plowed, but is now fallow and covered with vegetation, replowing may improve visibility while doing minimal damage to any sites that may occur there. Plowing or other substantially disturbing techniques should not be used on previously undisturbed surfaces. When seeking sites that are likely to contain metal, metal detectors may be helpful, and more sensitive magnetometers can detect nonmetallic subsurface anomalies. Aerial survey, using fixed-wing aircraft, helicopters, satellite imagery, or air photos, may be helpful for detecting features that are difficult to spot on the ground.

Records should be kept of the areas surveyed, the methods employed in survey, and any factors that may have affected the resulting observations. All sites

or other historic properties observed should be recorded on standard forms. (See section on forms below.) A final report should be prepared to document the kinds of properties sought, with the archival or other basis for defining and recognizing them, the methods used in archival research and fieldwork, the boundaries of the area(s) surveyed, the nature of the survey coverage, any factors that might influence the validity of the results, all properties recorded, their locations, descriptions, and probable archeological significance, and the locations and boundaries of any areas determined to be devoid of archeological sites, specifying the basis for each such determination.

The exact methods to be employed in any particular archeological survey, the exact techniques appropriate in the field, and the kinds of reports required, will vary with local circumstances and needs. The State Historic Preservation Officer should be consulted for advice and assistance, and the results of the survey should be made available for incorporation into the State historic preservation plan. For further information on archeological surveys, with special emphasis on nonurban situations, see *The Archeological Survey: Methods and Uses* (see Bibliography).

How can oral history or ethnography contribute to the survey?

Much of a community's or neighborhood's history may not be on record anywhere, but may be richly represented in the memories of its people, and its cultural and aesthetic values may be best represented in their thoughts, expressions, and ways of life. For this reason, it is often important to include an oral historical or ethnographic component in the survey. Both fields of study are based substantially on interviews with knowledgeable citizens: oral history focusses on straightforward recordation of their recollections, while ethnography is more concerned with contemporary cultural values, perceptions, and ways of life.

Oral historical and ethnographic research must be planned and carried out with the full knowledge and cooperation of community and neighborhood leaders and with sensitivity to their cultural backgrounds, values, and modes of expression.

Local college oral history, anthropology, and sociology programs may be of assistance in this aspect of the survey project. The American Folklore Society, the Oral History Association, and the Society for Applied Anthropology (See p. 19) are good sources of general information on oral history and ethnographic techniques.

An oral history project or an ethnographic study may be as complex and time consuming as the rest of the historic resources survey itself, and specialists in oral history or ethnography may have interests that, while worthwhile in themselves, are not directly pertinent to the survey. It is important to structure this component of the survey to ensure that the information gathered

OVERVIEWS

Governments responsible for relatively large land areas (large cities, counties, regions) may wish to consider preparing overviews before committing themselves to more detailed, focussed surveys. An overview is a document based on archival research alone, sometimes accompanied by very small-scale reconnaissance, that summarizes the history and prehistory of the area, analyzes the results of previous survey work and reaches conclusions about its quality, and seeks to make general predictions about which portions of the total study area are likely to contain different types of historic resources. These predictions can be used in general land-use planning, and can be tested and refined through further survey. Overviews can be extremely useful in the development of regional plans, in the early planning of land-use projects, in developing zoning and open-space plans, in planning for the long-range acquisition of parklands, and in making decisions on where to direct intensive survey efforts.

is as relevant as possible to the survey's goals, and to make sure that the gathering of oral data does not overwhelm the rest of the survey effort.

Typically, oral historical or ethnographic researchers meet at regular intervals with members of the community, individually or in groups, to discuss the history and other cultural aspects of those parts of the survey area currently being studied or soon to be studied in the field. It is also often useful to drive or walk through the survey area with knowledgeable residents of the community to obtain their comments on specific properties and areas. Unless informants

object, sessions should usually be tape-recorded so that written descriptions can be transcribed and correlated with other survey information. In order to ensure accuracy of the transcripts, and to respect the confidentiality of informants, those interviewed should be given the opportunity to edit tapes or transcripts. To ensure maximum accuracy, verification of informants' accounts should be sought through interviews with multiple individuals and members of different groups, and through comparison with documentary and field survey data.

What kinds of data will be needed to evaluate historic resources?

Where a decision has been made to conduct an intensive survey, the Department of the Interior recommends that every effort be made to compile the kinds of information described in National Register Bulletin No. 16, *Guidelines for Completing National Register Forms*. Ideally, such information should be organized and recorded in a manner that is compatible with the National Register Information System (NRIS) and the data processing system used by the State Historic Preservation Officer. The State Historic Preservation Officer should be consulted about what kinds of information to record. If nomination to the National Register is one of the survey goals, it is advisable to review the documentation requirements for nominations or requests for determinations of eligibility at the beginning of the survey, to make certain that all necessary information is collected in a form that can readily be transferred to National Register forms at a later date. An outline of the information required by the National Register is provided on page 46, and lists of the data categories used in the National Register Information System are provided in Appendix VI.

The following kinds of information recorded on each property identified should provide an adequate data base for making accurate decisions about the property's significance.

1. Resource Name

This is the primary name by which the resource is known. The historic name is most often used in indexing and filing as it will continue to be meaningful regardless of changes in occupancy or use. The historic name may refer to the original owner or builder; significant persons or events associated with the property; original or later significant uses of the property; innovative or unusual characteristics of the property; or accepted professional, scientific, technical, or traditional names.

Archeological sites, if their historic names (for example, the name of an Indian village recorded in the

ethnographic literature) are not known, are generally named for the nearby geographic feature, an aspect of cultural significance, their locations, or their owners.

2. Other Name/Site Number

This may be a common name or other secondary name used to refer to the property, or a number or number-letter code assigned to the property. The common name is the name by which the property is currently known. Most States have a site numbering system whose use will facilitate integration with State survey data.

3. Address/Location

Where a property has a street address, this should be recorded.

If a road has a route number rather than a name, indicate whether it is a State, county, or Federal road.

If the property does not have a street address, identify the location by recording the names of the nearest roads or, if there are no nearby roads, by referring to the Universal Transverse Mercator Grid System. (See item 11, Geographical Data.) Township, range and section, or description of the property's relationship to nearby roads or natural features may also be used to indicate location.

Where a property is large, for example in the case of an archeological site or historic district, the rough boundaries of the property should be described or an inclusive list of street addresses given.

If locational information should be *restricted*—that is, if access to it should be permitted only to specified users—this should be noted. Restricting access is appropriate (and permitted by Federal law) where revealing the location of a property to the public could result in vandalism or despoilation. Access to information on the locations of archeological sites is often restricted because of the danger that vandals and artifact collectors could destroy or damage the site searching for artifacts.

5. Owner

It is advisable to record both the category of ownership (i.e., Federal government, State government, local government, private) and the name(s) and address(es) of the actual owner(s).

6. Resource Type

The resource should be classified as to whether it is a site, building, structure, object, historic district, or part of a historic district; National Register definitions of resource categories may be found in the Introduction. If a property consisting of more than one resource is documented on a survey form, such as a farmhouse and outbuildings, the number of elements of each resource type should be noted (e.g., 2 buildings and 3 structures).

7. Location of Legal Description

The location of the legal description of the property, which is usually filed with the land records in the county courthouse or local planning and zoning commission or surveyor's office, may be used to trace chain of title, and is sometimes useful in legal actions involving the property.

8. Representation in Existing Surveys

It is useful to note whether the property is included in the State Historic Preservation Officer's statewide survey of historic properties; in inventories compiled by Federal agencies of properties under their jurisdiction or control, or in the environmental impact area of their projects; in the Historic American Buildings Survey; the Historic American Engineering Records; the National Historic Landmarks program; or in any other local, State, or private survey. Locating existing surveys can save duplication of time and effort in gathering survey data and in correlating data produced by the current survey with other documentation on the property. It may also be useful to indicate whether the property is a locally designated landmark or is part of a locally designated district.

9. Description of Property

Sufficient data should be gathered to give a professional description of the physical appearance and condition of properties. **For individual buildings, structures, or objects**, this information may include:

- a. Type of structure (dwelling, church, factory, etc.)
- b. Building placement (detached, row, etc.)
- c. General characteristics:
 - Overall shape of plan (rectangle, ell, etc.)
 - Number of stories
 - Structural system
 - Number of vertical divisions or bays
 - Construction materials (brick, stone, etc.) and wall finish (kind of bond, coursing, shingle, etc.)
 - Roof shape

- d. Specific features including location, number, and appearance of:
 - porches (verandas, stoops, attached sheds, etc.)
 - windows
 - doors
 - chimneys
 - dormers
 - other important or visually prominent exterior features
- e. Materials of roof, foundation, walls, and other important features.
- f. Important decorative elements
- g. Interior features contributing to the character of the building.
- h. Number, type, and location of outbuildings, as well as dates of their construction.
- i. Important features of the immediate environment such as roadways, landscaping, etc.

If a property has been moved, the following information is helpful in assessing historical integrity:

- a. Date of move
- b. Descriptions or original and present locations
- c. Distance the property has been moved
- d. Methods employed in moving the property (if known)
- e. Explanation of the effect of the move on the historical integrity of the property and upon its new location, with particular reference to the relationships between its original and current orientations, locations, and settings.
- f. Reason for the move.

Known alterations should be noted with appropriate dates, if available. Preparation of a floor plan sketch with original portions and later additions clearly marked may be useful for properties that have been altered many times.

Where possible, buildings and structures should be classified with reference to the architectural styles they represent. The architectural classification system used by the National Register Information System is provided in Appendix VI. If the style does not fall into any particular category, major stylistic elements may be noted. Regional or vernacular forms should be identified by the most commonly used or generally accepted terminology. Terms not commonly known should be defined.

Where a known person was responsible for designing or building the property, his or her name should be recorded.

Where a building or structure contains artifacts, equipment, furnishings, papers, interior modifications, or other characteristics that could provide useful information about its construction or use, or about the

activities of its occupants or users, the nature and locations of such material should be recorded. If such materials have been removed from the property, for example to a local archive or museum, this should be noted.

For *archeological sites*, appropriate information may include:

- a. Site type (e.g., midden, rockshelter, flake scatter, historic factory, etc.).
- b. Vertical and horizontal extent of the site and methods by which these boundaries have been defined.
- c. The immediate surrounding environment, both as it probably was when the site was in use and as it is today.
- d. Any disrupting influence (urban development, roads, agriculture) at work on or immediately around the site.
- e. Descriptions (or summaries) of known data on internal characteristics: stratigraphy, artifact classes and their distribution, structural remains, faunal and floral remains, materials useful for assigning the site to a chronological period, etc.
- f. Extent and nature of any excavation, testing, surface collecting, etc.
- g. Descriptions of any standing or ruined structures or buildings that might be of architectural or historic importance.
- h. References to any known ethnographic or historical descriptions of the site when it was occupied or in use.
- i. A list of pertinent previous investigations at the site, if any, indicating dates, sponsoring institutions or organizations, and bibliographic references.
- j. Quality and intensity of survey that resulted in recording the site and limitations this may impose on the data available for purposes of evaluation.

Historic site descriptions should include the preceding information where relevant, and should also identify:

- a. The present condition of the site and its environment.
- b. Any natural features, such as bodies of water, trees, cliffs, promontories, etc., that contributed to the selection of the site for the event or activity that gives it significance.
- c. Other natural features that characterized the site at the time the event or activity took place.
- d. Any evidence that remains on the site from the event or activity that gives the site its significance.

- e. The extent and kind of alterations that have affected the site, and their effect on its integrity.
- f. How the current physical environment and remains of the site reflect the period and associations for which the site is significant.

Sites of cultural value to American Indians or other social groups should be described with reference to the above items where they are pertinent, but special attention should be given to the qualities of the property that contribute to its importance in the eyes of those who ascribe value to it. For example, if the traditional origins of an American Indian tribe are associated with a particular configuration of rocks on a site, special attention should be given to describing them.

If an *architectural or historic district* is identified, it is useful to compile the following information:

- a. General description of the natural and manmade elements of the district: structures, buildings, sites, objects, prominent geographical features, density of development.
- b. Numbers of buildings, structures, and objects that do and do not contribute to the district.
- c. General description of types, styles, or periods of architecture represented in the district: scale, proportions, materials, color, decoration, workmanship, design quality.
- d. General physical relationships of buildings to each other and to the environment: facade lines, street plans, parks, squares, open spaces, structural density, plantings, and important natural features (some of this information may be recorded on sketch maps).
- e. General description of the district during the period(s) when it achieved significance.
- f. Present and original uses of buildings (commercial, residential, etc.) and any adaptive uses.
- g. General condition of buildings: restoration or rehabilitation activities, alterations.
- h. Noncontributing elements: the number of noncontributing buildings, structures, and objects should be given, and each such property identified.
- i. Qualities that make the district distinct from its surroundings. Where the social or cultural characteristics of the area's residents contribute to the district's character, these should be included.
- j. A list of all buildings, structures, and objects (or inclusive street addresses) that do and do not contribute to the character of the district.
- k. Any archeological sites identified within the district's boundaries, including both those that contribute to the significance of the district and those

whose significance is derived from qualities unrelated to the district.

- l. Concise boundary description: streets, property lines, geographical features, etc., that separate the district from its surroundings, with an explanation of the basis for establishing the boundary.

If a **commercial or industrial district** is identified, the above information should be compiled to the extent it is available and relevant; in addition, it is useful to record the following:

- a. General description of the industrial activities and processes taking place within the district, important natural and geographical features, and power sources
- b. General description of original machinery still in place
- c. General description of linear systems within the district (canals, railroads, roads) and their terminal points, with approximate length and width of area to be encompassed in the district.

If a **rural district** containing buildings or structures of historic or architectural significance is identified, in addition to recording the above data as relevant, it is useful to compile the following information:

- a. General description of geographical and topographical features (valleys, bodies of water, soil conditions, climate, changes in elevation, vistas, etc.) that convey a sense of cohesiveness.

- b. General description of buildings and structures, including outbuildings, within the district boundaries, usually with special attention to characteristics indicative of vernacular or folk-types of design and construction, to the activities housed in each such building or structure, and to the equipment and other material remaining in each.

- c. General description of manmade features of the environment and their relationship to the qualities that give the district its significance.

If an **archeological district** is identified, besides gathering the above data where pertinent, the following information should be recorded:

- a. General description of the natural and manmade elements of the district: structures, buildings, sites, objects, prominent geographical features, density of development.
- b. Number of contributing sites, with a description of each.
- c. Number of noncontributing sites, with a description of each.
- d. General description of the cultural, historic, or other relationships among the sites in the district that make the district a cohesive unit for investigation.
- e. General description of the data categories and research values represented in the district.



Rural surveys should attempt to identify properties that were important in the development of the area or are representative of typical activities in the past. All of the structures and significant land areas associated with a property should be documented in the survey. Burke's Garden Rural Historic District, Tazewell County, Virginia. (Virginia Division of Historic Landmarks)

- f. Identification of any non-archeological characteristics of the district that may contribute to its significance (e.g., cultural value to American Indian groups).
- g. General condition of sites and extent to which archeological intersite contexts remain intact.
- h. Assessment of the extent to which the area within the district boundaries has been adequately surveyed.
- i. Summary of the nature and level of damage the sites within the district have received or are receiving.

10. Significance

In most cases, the significance of any one resource cannot be fully evaluated until the historic contexts for the survey area have been developed and some reasonably comparable level of documentation on other resources in the survey project area has been gathered. During the survey, however, the surveyor should record the qualities of each property that relate it to the historic contexts of the survey area and may make it significant keeping in mind the criteria for determining significance. In addition, the surveyor may recognize qualities in a property that appear to be unique or significant, and these observations may be recorded for future reference and evaluation.

A statement of significance, whether designed to show that a property is or is not significant, should be developed as a reasoned argument, first identifying the historic context or contexts to which the property could relate, next discussing the property types within the context and their relevant characteristics, and then showing how the property in question does or does not have the characteristics required to qualify it as part of the context.

The areas in which a property may be significant should be recorded on the survey form and supported in the statement of significance. Area of significance is derived from the relevant historic contexts and the criteria for which the property may be important, for example, commerce or architecture. The areas of significance used by the National Register program can be found in Appendix VI.

The exact information needed to evaluate significance will depend on the historic context. In most cases information falling into the following categories will be needed and should be recorded:

- a. Historically significant events and/or patterns of activity associated with the property.
- b. Periods of time during which the property was in use.
- c. Specific dates or period of time when the resource achieved its importance (e.g., date of construction,

date of a specific event, period of association with an important person, period of an important activity).

- d. Historically significant persons associated with the property (e.g., its tenants, visitors, owner).
- e. Representation of a style, period, or method of construction.
- f. Persons responsible for the design or construction of the property.
- g. Quality of style, design, or workmanship.
- h. Historically or culturally significant group associated with the property, and the nature of its association.
- i. Information which the property has yielded or may be likely to yield (especially for archeological sites and districts).
- j. Cultural affiliation (for archeological sites and districts).

NATIONAL REGISTER DEFINITIONS OF CONTRIBUTING AND NONCONTRIBUTING RESOURCES

The following definitions are used by the National Register to classify the resources making up a property as *contributing* or *noncontributing*.

The physical characteristics and historic significance of the overall property provide the basis for evaluating component resources. Specific information about each resource, such as date, function, associations, information potential, and physical characteristics, can then be related to the overall property to determine whether or not the component resource contributes. Resources that do not relate in a significant way to the overall property may contribute if they independently meet the National Register criteria.

- A **contributing** building, site, structure, or object adds to the historic architectural qualities, historic associations, or archeological values for which a property is significant because a) it was present during the period of significance, and possesses historic integrity reflecting its character at that time or is capable of yielding important information about the period, or b) it independently meets the National Register criteria.
- A **noncontributing** building, site, structure, or object does not add to the historic architectural qualities, historic associations, or archeological values for which a property is significant because a) it was not present during the period of significance, b) due to alterations, disturbances, additions, or other changes, it no longer possesses historic integrity reflecting its character at that time or is incapable of yielding important information about the period, or c) it does not independently meet the National Register criteria.

11. Geographical Data

The acreage of the property should be determined and recorded as accurately as possible.

The location of the property should be determined according to the Universal Transverse Mercator (UTM) Grid System. The UTM system is recommended because of its accuracy, its universality, and its compatibility with automated data systems. The property should be located on a U.S. Geological Survey (USGS) map (7.5 or 15 minute series), and the UTM coordinates for the location recorded. One reference point centered on the property is sufficient for properties less than ten acres in size; for larger properties, at least three reference points corresponding to the major points delineating the property's boundaries should be recorded. For an explanation of the UTM system, see the National Park Service publication, *Using the UTM Grid System to Record Historic Sites* (see Bibliography).

Geographical data should include a verbal boundary description precisely defining the boundaries of the property surveyed. It may be in the form of a tax parcel number, a city lot number, a sequence of metes and bounds, a legal property description, or the dimensions of the parcel of land fixed upon a given point such as the intersection of two streets. Where it is difficult to establish fixed reference points such as roads or property lines, as in rural areas, descriptions may be based on a series of UTM reference points or on the section grid appearing on the USGS map. An explanation, or justification, of why a particular boundary was chosen should be recorded.

12. Other Documentation

If additional documentation on the resources is available beyond that recorded on the basic survey

recording form (e.g., survey files, records with the State Historic Preservation Officer, publications, HABS/HAER records), each known source of such documentation should be recorded.

Records of historic properties should contain bibliographies referencing the sources used in preparing the records. Author, full title, date, and location of publication should be recorded. For an article, list the magazine or journal from which it was taken, volume number, and date. For unpublished manuscripts, indicate where copies are available. Interviews should be listed with the name of the person interviewed and date of the interview.

13. Researcher

Names and qualifications of persons directly involved in compiling information on the property should be recorded.

14. Photographs

At least one photograph of each property should be included in the survey data. Photographs can be used to document the property's condition and physical appearance, and to illustrate important features of the property. They can be used to check field observations and to provide visual evidence of historical, architectural, or aesthetic significance. The number of photographs needed to provide adequate coverage will vary according to the nature and significance of the property. For buildings and structures, at least one photograph showing the principal facades and environment in which the property is located should be included. Interior views are generally not needed, unless significance is primarily based on interior features.

INFORMATION REQUIRED FOR REGISTERING PROPERTIES IN THE NATIONAL REGISTER OF HISTORIC PLACES

Certain kinds of information are required for documenting properties nominated to the National Register of Historic Places or considered for determinations of eligibility for listing. The following list itemizes the required information as it is requested on the National Register of Historic Places Registration Form. If one of the survey goals is to register significant properties, effort and care should be made to ensure that information collected during survey meets the National Register documentation requirements and can easily be transferred to the National Register form. Because the National Register form is compatible with the National Register Information System, standardized data categories have been formulated for entering information pertaining to certain items. These items are identified below by an asterisk and include function and use, architectural classification, materials, and areas of significance. Appendix VI provides lists of the categories used by the National Register to complete these items. For further infor-

mation on completing National Register forms, consult National Register Bulletin No. 16, *Guidelines for Completing National Register of Historic Places Forms*.

1. Name of Property

Historic name

Other names/site number

2. Location

Address (including street & number, city or town, state and code, county and code, and zipcode)

Not for publication (to be indicated when access to information on location should be restricted)

Vicinity (to be used when property is not located in a town or city)

3. Classification

Ownership of property (private, public-local, public-State, and/or public-Federal)

Category of property (building(s), district, site, structure, or object)

Number of contributing resources within property (by resource type)

Number of noncontributing resources within property (by resource type)

Number of contributing resources previously listed in the National Register

Name of related multiple property listing, if any

4. State/Federal Agency Certification (to be completed by State and/or Federal officials during registration process)

5. National Park Service Certification (to be completed by the National Park Service)

6. Function or Use*

Historic functions*

Current functions*

7. Description

Architectural classification*

Materials (foundation, walls, roof, other)*

Narrative describing the property's present and historic physical appearance

8. Statement of Significance

Level at which evaluation has taken place (nationally, statewide, locally)

Applicable National Register criteria (A,B,C, and/or D)

Criteria considerations, if any apply

Area(s) of significance*

Period(s) of significance

Significant dates

Cultural affiliation (for archeology)

Architect/builder

Significant person

Narrative stating the significance of the property and justifying the applicable criteria, criteria considerations, and areas and periods of significance.

9. Major Bibliographical References

References (including books, articles, interviews, surveys, etc.)

Previous documentation on file at the National Park Service (including listings or determinations of eligibility for listing in the National Register, designations of National Historic Landmarks, and recordings by HABS/HAER).

Primary location of additional data (such as State Historic Preservation Office, other State agency, Federal agency, local government, university, or other) and specific name of repository.

10. Geographical Data

Acreage of property

UTM references (one is required for properties smaller than 10 acres; at least 3 for larger properties)

Verbal boundary description

Boundary justification

11. Identification of person who prepared the form (including name, title, organization, address, and telephone number) and date.

* See Appendix VI for the standardized data categories used to complete these items.

What additional planning information may be gathered in the survey process?

Information on the historic, architectural, or cultural significance of resources is most useful in guiding future community development if it is integrated with other kinds of planning information. This information, which is listed below, may already have been gathered through other planning studies or it may be gathered as part of the historic resources survey. Because the expertise necessary to gather much of this information is different from that necessary for the historic resources survey, it may be more effective to gather the information in a project separate from the historic resources survey. If this option is chosen, the two projects should be carefully coordinated.

Structural Information on Individual Buildings

A determination of the structural condition of in-

dividual buildings should be based on an examination of:

- Exterior condition of walls, roof, chimneys, window and door openings, gutters and downspouts, stairs, porches.
- Interior condition of foundations and basements, beams, joists and piers, flooring, walls and ceilings, window frames and doors.
- Condition of mechanical systems for plumbing, electricity, and heating. Condition of original construction and any subsequent alterations, adequacy of fire prevention and control measures, condition and adequacy of elevator facilities (if available).
- Estimated cost of bringing building to code.



Important industrial and engineering structures should be included in the survey. In addition to their intrinsic value in the history of American industry and engineering, such structures are often associated with the economic development of a community and with its prominent citizens. The Sloss Blast Furnace Site, Birmingham, Alabama, contributed to the development of that city as the iron and steel center of the South. The site has recently been developed into a local historical park. (Jack E. Boucher for Historic American Buildings Survey/Historic American Engineering Record)

Physical/Development Factors Affecting Buildings or Neighborhoods:

- a. Threats to area/building (vandalism, demolition, neglect).
- b. Public and private development plans.
- c. Rehabilitation work (being considered, under way, completed, now planned).
- d. Land use/zoning.
- e. Density.
- f. Transportation routes and facilities.
- g. Municipal services (utilities, sewer, police, etc.).
- h. Parking.
- i. Setbacks.
- j. Floor area.
- k. Occupancy limitations.
- l. Designation of critical environmental areas or protected features.
- m. Areas that are *red-lined* or receive less favorable treatment from lending institutions.
- n. Existing easements or legal encumbrances.
- o. Current assessed evaluation (land, improvements, total).

Socioeconomic Character of Area:

- a. Income level of residents or tenants.
- b. Tax rates and base.
- c. Amount of ownership versus rental.
- d. Community institutions (civic, religious, educational).
- e. Real estate trends.

Planning Information for Archeological Sites:

- a. Accessibility of site
- b. Potential for interpretation to the public.
- c. Local attitudes toward protection, use, or excavation of site.
- d. Likely development pressures on the site.
- e. Potential for natural deterioration (through erosion, soil chemistry changes, etc.).

Forms, maps, photographs: How should survey data be recorded?

Before beginning training sessions and the survey itself, methods of recording survey data need to be established. Generally, most data gathered during the survey are recorded on standardized forms and maps, with photographs, supplemented by sketches and additional records.

Survey Forms

Most State historic preservation programs have developed standard survey forms for their statewide surveys. The use of these forms at the local level is most desirable, as it facilitates integration of the information into statewide survey and nomination of properties to the National Register.

The kinds of forms used depend on the intensity of the survey, the kinds of properties to be recorded, the

degree of expertise of those conducting the survey, and other factors unique to each survey. As a result, communities may wish to adapt State survey forms to their particular needs. If this is done, care should be exercised to ensure that consistency is maintained in the description of key elements used by the State in data storage and retrieval.

Most survey forms fall into three main categories:

1. A multiple choice checklist with or without illustrations, often in the form of a card coded for automated data processing.
2. One or more sheets presenting a series of questions or categories of information requiring brief written responses.
3. One or (usually) more sheets presenting a series of

general questions or categories requiring more lengthy responses.

The multiple choice checklist may be useful if:

- the survey is a reconnaissance,
- volunteers without extensive training are conducting the survey,
- a limited range of resources are thought to be present (e.g., buildings representing only a few architectural styles), or
- a limited range of resources is being sought (as in some theme-focussed surveys).

For an intensive survey, however, this type of form is seldom appropriate, because it is virtually impossible to incorporate the complex variability represented by a whole range of historic properties into a simple checklist. Although checklist forms are useful especially for architectural information, many buildings and their architectural and decorative features defy classification under the categories generally provided. Checklists may be useful for describing individual buildings within districts, but they are seldom useful for describing districts as wholes, because they do not provide a mechanism for recording a district's overall environment, its social characteristics, and its other unique features. For archeological sites, checklists are often useful for noting the presence or absence of particular predictable features and artifacts, but usually must be supplemented by substantial verbal description to record stratigraphy, size, and other unique characteristics. Cultural landscapes, too, whether designed or created by recurrent land-use practices, are usually too complicated, and contain too many unique features, to be accurately captured in a checklist. Transcribing data from the checklist into a narrative description, like those required by the National Register and most State registers, can be difficult because much of the information needed for narrative description either cannot be derived at all from the checklist format or can be derived only through extrapolation and interpretation, increasing the potential for error.

Forms that have a series of questions or categories generally require a certain amount of expertise. Since the forms do not spell out elements to be identified, the surveyors themselves must be able to prepare complete and accurate property descriptions; they must be particularly careful to include all major elements of the property in the description. These forms do allow for the description of unique elements of particular properties or areas that would normally not be specified on a checklist form.

Longer and more complicated response forms, such as those used by the National Register, require a higher degree of expertise in completing the documentation. Information for these forms may be derived from shorter checklist forms or from other rough survey data.

As a result of these differences, it is often desirable to use a variety of forms in a given survey, for example, using flexible response forms like those of the National Register for recording districts and structures or buildings that may be individually significant, using tailored combinations of categorical questions and checklist items for archeological sites and other properties having some predictable and some less predictable characteristics, and using checklists for the description of individual buildings and structures making up a particular district.

Forms are seldom sufficient in themselves for recording survey data. They should be supplemented by more general, flexible notes to record general environmental and contextual data, information on survey conditions, and supplementary data. Each surveyor should keep a log or diary to record general observations and supplementary information about the progress of the survey and about the property or area being studied, such as its general architectural and social characteristics, anticipated effects of proposed or possible development, ideas for the adaptive use of particular buildings, names of local contacts with particular information, names of interested local citizens, and miscellaneous historical or archeological information. Unless they are recorded on the scene, such observations are usually lost to those who might benefit from them or find them useful at a later date.

Field Maps

Surveyors will need maps to use as guides during the onsite orientation and to use as worksheets during the field survey. A master map can be prepared for these purposes by annotating an existing small-scale map of the community or county. In cases where areas or properties to be surveyed have already been determined, these should be delineated on the map. Sites discovered through historical research, that should be investigated during the field survey, may be pinpointed on the map.

The base maps used in most historic resources surveys are U.S. Geological Survey (USGS) 7.5 minute and 15 minute quadrangle maps. *USGS quads* are used by most State Historic Preservation Officers and Federal agencies to locate and record historic resources in their inventories. These maps show topography, natural features, roads, buildings, and structures in rural areas, latitude and longitude lines, and township, range, and section lines. Importantly, most have Universal Transverse Mercator (UTM) grid ticks, which allow historic properties to be accurately plotted and their locations recorded for future retrieval and analysis, especially using automated data processing. USGS maps can often be obtained locally; if not, an index to available maps may be obtained by writing the U.S. Geological Survey, Sunrise Valley Drive, Reston, VA 20021.

For urban areas, however, it will be necessary to supplement USGS quads with more detailed local maps. USGS quads show built-up areas merely as pink blotches, with only major streets marked. As a result, although USGS quads should be used to help relate the local survey to such larger-scale efforts as the statewide comprehensive survey, surveyors in urban areas will find other, usually locally produced maps more useful for field use and as base maps. Detailed maps of most large cities can be obtained from city planning agencies. Other sources of useful maps include State highway departments, local preservation commissions, regional planning agencies, local highway commissions, and realtors.

Photographs

Photographs are an essential part of survey data. Whether photographs are taken by field surveyors or professional photographers, the 35 mm camera probably provides the most flexible format for survey purposes. Some 35 mm cameras can be equipped with a perspective-correction lens, which, when properly used, helps eliminate perspective-induced distortion in photographs of structures. (This lens is best used by an experienced photographer.) The use of slightly wide-angle (35 mm) or normal (50 mm) lenses allows photographers to take shots of entire buildings or whole facades. Fast lenses allow for the best use of available light and good recording of details.

While black and white prints are appropriate for survey documentation, other photographic forms may be useful supplements to the basic records of individual properties.

- Color slides may be useful as supplemental documentation for evaluating properties. Although not a substitute for black and white prints, slides can be used in public presentations to generate local interest in the survey project and in historic resources.
- For quick identification, a contact print or Polaroid photograph identified by name and number may be affixed to the field survey form.
- Videotapes may be useful in quickly capturing the social and architectural characteristics of historic districts or landscapes.

It is essential that a practical system be established for numbering, processing, and filing photographs in such

a way that they can be easily identified, correlated with forms, systematically filed, and retrieved. The most common approach is to assign a unique number to each roll of film, and to maintain a log indicating the subject of each frame on each roll, by roll and frame number. Film should be kept in a central place and assigned a number as it is signed out to avoid the possibility of assigning the same number to two rolls. Each photographer then logs in his or her photos, recording for each shot the roll number, the frame number, and such information as the property name and location, the direction of the view (e.g., *north-west corner of building; view across site from south-east*), detail included (e.g., *front porch; rock feature*), and other details concerning the property or the exposure. Photo roll and exposure numbers should also be entered on property recording forms for cross-reference purposes. General views of streets or open space areas should be recorded with appropriate locational information and names or numbers of individual properties included in the picture.

It is a helpful check on paper records to place a marker in the view being photographed when the photograph is taken. This should indicate the subject and other relevant data (view, detail, date). Cards or pieces of cardboard with such information written in magic marker can be used for this purpose, though a more professional product is obtained using a *menu board* with plastic letters and numbers. It is also often helpful to include a scale marker (for example, a *meter stick*—a piece of lath one meter long, marked in 10-cm increments) and a north indicator (in archaeological convention, a wooden or plastic arrow or a trowel) in the photo.

Photos and especially negatives should be carefully filed under conditions that will minimize their deterioration, and according to a system that will make it easy to retrieve them. It is often most convenient to retain the roll and exposure number as a basic index number for the print and negative frame, sometimes with an additional accession number to identify the area or the survey that produced the photo. Photo logs should be retained permanently as part of the survey data, on computer or in the form of logbooks or card files. It is wise to consult the State Historic Preservation Officer for advice about photo recording, filing, and retrieval systems.

What equipment will be needed for survey work?

Equipment for each survey team may include some or all of the following:

- clipboards, spiral notebooks (for logs and general notes).
- supply of pens, pencils, and magic markers

- field survey forms
- USGS quadrangle(s) and UTM counter
- other relevant map(s)
- tape measures (each surveyor is usually equipped with a 3-meter or 10-foot tape, and each team with a

30-meter, 50-meter, 50-foot or 100-foot tape).

- compass
- camera(s)
- black and white film
- color slide film
- official identification
- letter of introduction explaining survey
- additional lenses for camera (wide angle, telephoto, perspective correction).

Survey teams concentrating on architectural resources may also need an appropriate style manual (e.g., one developed for the survey itself, or by the State Historic Preservation Officer, or a general guide such as McAlester, McGee, or Whiffen [see Bibliography]).

Archeological survey teams will usually need at least trowels, and in some cases will require augers or posthole diggers, shovels, or such power equipment as

motorized augers or backhoes. In some cases, it will be useful to equip teams with guides to local artifact types or types of architectural elements indicative of different time periods or building functions.

Survey teams engaging in oral history or ethnographic recording will probably need tape recorders or videotape equipment.

The survey coordinator will also need to consider what sort of equipment may be appropriate for transporting the survey teams into and around their survey areas. Intensive surveys are usually done on foot, but teams must still be transported to and from their survey locations. If municipal transport is not sufficient for this purpose, the survey teams will need access to automobiles, bicycles, or some other mode of transport.

Review and Organization of Survey Data

Before survey data can be integrated into the community planning process, it must be compiled in a systematic manner and reviewed for content, clarity, and accuracy. Properties identified must be evaluated against established criteria. The data must be stored in a form that makes key elements readily retrievable, and that protects the information against loss and deterioration. This section discusses what can be done

with survey data, including how an inventory—that is, a selective list of significant properties—can be derived from the data. Methods of compiling, evaluating, and storing the data are considered. This phase of the project should be undertaken with special care because it will have a direct effect on the usefulness of the inventory for planning purposes.

How are survey data reviewed during fieldwork?

Organization and review of survey data should begin while fieldwork is still in progress, although naturally they will continue after fieldwork is complete. Descriptions of physical appearance and other observations made in the field should be checked against photographs and documentary evidence gathered by the researchers. Maps and other reference material may be used to verify locations of resources that are surveyed.

In order to use the review of survey data to correct mistakes and inaccuracies in field reporting, the data produced by each survey team in each area should be reviewed and organized as soon as possible after it is produced. Fieldwork should not be allowed to get too far ahead of review, organization, and analysis of data. Information gathered in the field must be integrated with documentary evidence uncovered during archival research. This responsibility may be assumed by the survey coordinator. Inconsistencies—descriptions not matching photographs, questions of ownership, conflicting dates of construction—should be carefully reviewed, and, if necessary, additional archival research or fieldwork should be done to achieve consistency.

Treatment of Forms

Forms used in the field are usually considered rough working copies rather than final documents. Surveyors should review forms filled out in the field to make sure that observations are clear, terminology is correct, and descriptions are complete and accurate. After the preliminary forms have been reviewed by the survey coordinator or other knowledgeable persons, final forms for archival purposes should be prepared. Where an automated data processing system will be used in maintaining the survey data, the relevant information should be entered into the system from the forms at this point. If narrative descriptions are prepared from the forms, these too should be checked and edited, using original survey forms and photographs for verification.

Organization of Other Notes

Supplementary notes taken in the field, both with respect to particular resources and with reference to the progress of the survey in general, should be compiled as the survey progresses. Since a given page of notes may include information on several different properties or areas, or touch on a number of different topics, it is often useful to photocopy notes as soon as they come in. The original can then be filed safely to guard against loss of data during analysis, while the

copy can be cut up in order to reorganize its contents, combine contents with other notes and forms, and organize files providing full data on particular properties, areas, or historic contexts.

Organization of Photographs

As photographs are processed, they should be promptly correlated with forms and other field data. The accuracy of photo records should be checked, and relevant roll and frame numbers should be entered on the final forms. Information on systems for filing photographs may be found on pages 59–60.

Organization of Maps

Certain maps will usually have been prepared before fieldwork begins; for example, maps indicating the probable locations of properties relevant to different historic contexts, maps showing the predicted locations of subsurface archeological resources, and maps showing the locations of properties identified during previous surveys. As the new survey data are processed, these maps may be corrected, but it is usually wise to preserve a copy of each map originally prepared on the basis of archival research in order to compare pre-fieldwork expectations with actual results.

As data from the field are processed, properties should be located on a master map or maps. Each property mapped should be assigned a number, name, or other designator that makes it possible to relate the mark on the map to the form or forms that describe the actual property. Master maps should be consistent in size and type with those used by the State Historic Preservation Officer in the statewide comprehensive survey (usually USGS Quads), or should be of a size and scale to allow correlation with existing community planning base maps. As each step of the survey work is completed, data should be transferred to these maps. As the maps are filled in they should be reviewed to see what patterns are developing that may not be obvious on the ground; analysis of mapped data may make it possible to locate concentrations of historic resources other than those districts identified through archival work or evident in the field.

To avoid duplication of effort and to minimize confusion in future planning, it is essential that information concerning the nature and intensity of survey coverage be maintained in a clear and understandable format. It may be most effective to prepare a map or map overlays indicating which areas have been surveyed and which have not and identifying any differences in the type or intensity of survey among various areas. For example, areas that have been intensively surveyed for all types of historic resources would be differentiated from areas that have been surveyed intensively for architectural resources and only cursorily inspected for archeological resources. Such data may be recorded on coded map overlays, in block by block summaries, or in any other clear way.

Sketch maps for both individual properties and historic districts should be checked for accuracy and clarity. District sketch maps should be checked to make sure that all individual properties in the district are shown and that all outstanding features, intrusions, and boundaries are clearly marked. Street names and/or highway numbers should also be shown. Descriptions of the boundaries and inclusive street addresses should be checked against the sketch map to insure that they are consistent and that properties have not been inadvertently included or omitted. Sketch maps of archeological sites should be checked to ensure that such data as the location of surface features and subsurface exposures, the location of test pits, backhoe trenches, or auger holes, and cross-references to other notes, stratigraphic drawings, and remote sensing data are accurate and complete, and that key reference points (e.g., streets, buildings) are included to assist in relocating the site. A north arrow (magnetic or true) and scale should be added to the map, if not already present. It may be necessary to redraw district sketch maps once all the necessary checking and clarification has been done. Care should be taken in redrawing sketch maps to ensure that elements noted in the field are not lost, and to guard against creative reinterpretation of actual field conditions.



This map, taken from the comprehensive Survey of Architectural History of Cambridge, Report 3: Cambridgeport (1971), is one of a series of maps showing the history of land use in this now urbanized area of Massachusetts. Residential areas are clearly indicated by dots while commercial and industrial areas are indicated by diagonal lines. Major industrial complexes are identified by name. Buildings that are blackened belong to the Massachusetts Institute of Technology and Harvard University. (Courtesy of the Cambridge Historical Commission)

As archival research and fieldwork are completed, it may be useful to prepare a variety of kinds of maps to aid in evaluation and planning. Maps or multiple overlays on a master map, showing the following categories of information are often prepared:

1. **Predicted areas of sensitivity.** Areas where, based on survey work to date, it is predicted that significant historic resources may occur should be identified on maps. Such maps can help guide continuing survey efforts and provide community planners with early warning of potential conflicts between development and preservation, even when survey data are not yet complete.
2. **Areas where survey is needed.** Areas where the analysis of historic contexts and survey priorities indicate that survey is necessary, but where survey has not yet occurred, should be identified on maps, and eliminated as the survey progresses.
3. **Buildings and structures.** All buildings and structures, regardless of age, should be mapped, differentiating those that contribute to the character of the area surveyed from those that do not. (See definitions of *contributing* and *noncontributing* resources on p. 45.)
4. **Architectural style or period.** A map plotting architectural periods might be prepared by an architectural historian to show areas with particular design characteristics. This information may assist in identifying districts.
5. **Historical events.** Based on information gathered by archival researchers, and oral history or ethnography, a map may be prepared showing structures, sites, or areas associated with historic events, trends, activities, or important individuals in the history of the community. This information may also assist in identifying districts.
6. **Cultural groups.** A map or series of maps showing the locations and distribution of different social,

economic, or ethnic groups at various periods in the past may be prepared.

This map may serve to identify present-day neighborhoods having particular historic, architectural, or cultural characteristics, and areas that may have importance for historical archeology.

7. **Archeological data.** The locations of all sites, structures, building, districts, and objects of archeological importance can be mapped and coded to indicate period, type of property, condition, and other data. Based on archival research and/or fieldwork, maps may be prepared showing areas where archeological properties of different kinds are likely to occur, or where care should be taken during future construction or other development to minimize damage to buried archeological resources that cannot now be seen on the surface. It is important that archeological site location data be protected to avoid its misuse by artifact collectors who may both damage archeological sites and commit acts of trespass in their search for objects (Indian artifacts, old bottles, etc.) for sale or addition to their collections.

8. **Visual features.** Features identified by visual analysis—views and vistas, *edges*, focal points, cultural landscapes, streetscapes, visually prominent structures—may also be indicated diagrammatically on a map.

9. **Existing building uses.** Mapping the uses of all buildings within a given area often indicates the physical and developmental status of the area and may be useful for planning purposes. Standard planning color codes may be used to indicate zoning and various uses such as single-family residence, office, or retail use.

10. **Building condition.** Color-coding can also be used to show buildings in good condition, those needing minor or major repairs, and those dilapidated or structurally unsound.

How and why are resources evaluated?

The primary reason to evaluate properties found through the survey is to designate those which are worthy of preservation and should be considered in local planning. These properties may be listed in a historic resources inventory—a selective list of resources meeting establishing criteria of significance. By providing information on historic significance, integrity, and boundaries, survey results may provide the basis for designation of historic properties and districts under a local preservation ordinance and subsequently serve as an authoritative basis for design review and other functions of the local historic preservation commission. Furthermore, decisions concerning a wide range of local preservation activities, both

private and public, ranging from main street revitalization to tax abatement programs can be based on the evaluations made during the survey process.

A related purpose of the evaluation process is to identify properties for nomination to the National Register or those on which determinations of eligibility for the National Register should be made as part of Federal environmental review processes, and those that may be certified as eligible for Federal assistance through grants and tax credits.

The community should strongly consider using the National Register criteria given on page 5 as a

basis for evaluation. Developed by the National Park Service for evaluating potential entries to the National Register, the criteria are broadly worded to provide for the diversity of resources within rural areas, towns, and cities across the country. These criteria, used by the Federal government and the State historic preservation programs, are the national standard for evaluating historic resources. The use of historic contexts provides a mechanism for *translating* the broad National Register criteria into locally meaningful terms. For example, the National Register criteria allow any property that is *associated with the lives of persons significant in our past* to be regarded as eligible for listing, but it is the historic contexts of the area that define who such people were.

If criteria different from those of the National Register must be used, the community may wish to consider a dual evaluation system, using the National Register criteria as well as its own. The rationale for this is that it is properties included in and eligible for the National Register—not a separate local listing based on different criteria—that Federal agencies and governments receiving Federal assistance are required to consider in planning their projects. In evaluating the significance of resources, communities may find it useful to refer to the *Secretary of the Interior's Standards and Guidelines for Evaluation*.

Evaluation of historic resources should be made with reference to the historic contexts established during survey planning or during the survey itself. In essence, this involves identifying the historic context or contexts to which each property might relate and then deciding whether and how it does—or does not—fit into the context.

Evaluation decisions should be made by people who are qualified, through education, training, and experience, to apply the criteria with reference to the relevant historic contexts. Many communities establish review boards to make evaluation decisions. It is important that such a board include professionals in the disciplines of architectural history, history, archeology, architecture, and other fields appropriate to the historic contexts of the community. The board

should also include people broadly representative of the community and its cultural groups. Board members should be familiar with the range of properties included in the National Register, as most of the properties selected for the community inventory may well be eligible for National Register listing. The National Park Service's *Manual for State Historic Preservation Review Boards* (see Bibliography) is recommended reading for local review board members.

The evaluation process should ensure a balanced and adequate consideration of all resources in the survey area. Evaluation should be based solely on the historic, architectural, archeological, and cultural values perceived in the properties involved, **without consideration of the economic value of such properties or how they may be treated in planning**. In other words, properties should be evaluated purely on their merits. Decisions about what to do with properties evaluated as significant should be made separately.

The survey coordinator often presents the survey data to the evaluation group. The data is ordinarily organized to present a) the historic context involved; b) enough information on each property to assign it to a property type within the context, compare it with the characteristics expected of its type, locate it on the ground, and define its boundaries; and c) an argument as to why the property is or is not significant within the relevant historic context. Forms, photographs, maps, archival documentation, and surveyors' field notes are used in such presentations, often along with slide shows and planning base maps.

The inventory should be open, so that properties can be added as they are identified through survey work and as they come to be regarded as historic by the changing community. For this reason, review boards are often established by statute with permanent official status in local government, providing continuing oversight to the survey and evaluation process. In order to be certified for participation in the national historic preservation program under Section 101(c) of the National Historic Preservation Act, a community must establish its historic preservation commission by statute.

What are the advantages and disadvantages of using numerical and categorical evaluation systems?

Systems that assign numerical scores to surveyed historic resources for the purpose of establishing preservation priority categories have been developed by many communities. Summaries of several studies that use such evaluation systems are included in the appendix.

The premise behind these systems is that the relative architectural, historical, and archeological significance of resources can be evaluated on numerical scales,

permitting the resources to be placed within distinct priority categories. While it is essential that the results of the survey be incorporated into an overall community preservation plan (discussed in the introduction), numerical rating systems may not be the most effective way of determining priorities. The basic logistical problem with such systems is the difficulty in working with often complex rating formulas. Numerical systems can also give a false sense of cer-

tainty in judgement about resources: in quantifying intangibles like significance, it is questionable whether the difference between one building scoring 79 and another scoring 80 is really meaningful.

It is difficult to assess the number of points which should be given for any one aspect of significance. Although a building of *national* significance may receive more points than one of *local* significance, the locally significant building may be more critical to the character of the community. It is equally difficult to balance historical significance against architectural significance and to determine how many points each should receive. Finally, it is difficult to evaluate diverse resources within one system. For example, how does one evaluate an early industrial paper mill against a Frank Lloyd Wright house or an Indian burial mound?

Categorizing resources by total numerical score may lead to serious problems. Some cities have found that opponents of preservation projects use the classification systems to their advantage. While a community may intend to establish priorities for preservation activities by categorizing its historic resources, the system can be used to encourage the sacrifice of *lower priority* resources in situations also involving resources from the *higher priority* categories. Public officials or decisionmakers may themselves also neglect to give due consideration to buildings with less

than the highest numerical rankings. Conversely, a property that achieves a high rating may be perceived by some to be inviolate purely because of its historical value. This is inappropriate because decisions about what to do with a property, regardless of its level of significance, involve not only the historical value of the property but also community needs and interests, development priorities, and changing economic, legal, and social constraints.

Another problem with numerical systems is that they may not be sufficiently flexible. It may be difficult to move a property from one category to another if the factors used originally to categorize it change. Numerical evaluation systems generally do not provide for adjustment based on the discovery of additional resources, loss of similar resources, discovery of new data, or change in the condition of the evaluated resources.

The experience of the National Park Service suggests that the complexities inherent in historic resources evaluations and the number of other factors that must be considered in establishing preservation priorities do not lend themselves to simple numerical formulas. Case-by-case evaluation of resources may provide a more accurate assessment of the significance of resources and thus a more realistic basis for planning decisions.

What kinds of due process considerations may be required in evaluating properties?

In evaluating privately owned properties for listing in an inventory, it may be legally necessary and is always prudent to notify property owners and give them the opportunity to comment on the proposed listing. Such notification is required by law with respect to nominations to the National Register. Depending on local law, due process requirements for listing properties may involve public hearings and the opportunity to rebut the findings of the survey.

The State Historic Preservation Officer can assist in meeting Federal requirements for property owner notification in connection with National Register nominations. The community's legal counsel should be able to establish what due process requirements

may be imposed by State and local law. The rationale for such requirements springs from the fact that listing in the National Register and in some State and local inventories may confer economic advantages on a property owner and conversely may impose some constraints on his or her use of the property. As a result, if listing in the inventory gives no legal protection or restrictions on properties, due process procedures may not be required by law. Even where they are not required, however, it is wise to involve property owners in the evaluation process in order to maintain community support for the preservation program and avoid misunderstanding.

What kind of documentation should be included in the inventory files?

Documentation on each property selected for the inventory should include the final, clean form describing the property, pertinent supplementary data, relevant maps and sketches, record photographs, and an evaluation of the property's significance. In many cases, it may be appropriate to keep some of these items in different files: for example, base maps show-

ing the location of a property or relating it to other aspects of an historic context may be too large to file physically with the property form and notes, and negatives of photographs should normally be filed separately to ensure their protection from deterioration. In such a case, files should be cross-referenced so that all information pertinent to a given property or a

given historic context can be found and correlated. A microcomputer-based catalogue is useful for this purpose, as discussed below.

Evaluations of significance are sometimes entered on survey forms, and may be provisional, that is representing the survey team's judgement during fieldwork, or final based on the judgement of the review board or its equivalent. Alternatively, the community

may wish to prepare special inventory forms for those properties determined to be significant. A longer narrative form may be patterned after National Register forms. If survey forms have been adequately refined and evaluations are integrated into or kept with the other survey data, it may not be necessary for the community to spend extra time preparing special inventory forms.

How can information be stored to permit efficient retrieval at a later date?

As the survey data are evaluated, they must be organized for storage and further use. Decisions must be made about two things: how the data can be kept in a way that makes it most accessible and usable to those who need it, and how the physical products of the survey—forms, maps, photographs, surveyors' notes, evaluators' comments, and so forth—will be kept secure for future reference. The first issue involves decisions about data retrieval, the second about physical filing and security systems.

Data Retrieval

Decisions about how to maintain data in a retrievable form must be based on the community's needs. Thus, as discussed in Chapter I, the community should determine how it expects or wishes the survey data to be used (i.e., what its information needs are) before devising its storage and retrieval system. Advance planning should enable the community to avoid wasting time and money on the development of a system that does not meet real informational needs.

The efficient use of survey data in community planning demands the use of an information system that makes basic data readily accessible, that allows information to be combined in different ways, and that permits the easy entry of new data. Keeping information current is a time-consuming task, but one that can be minimized with a modern data processing and retrieval system and a trained staff.

The basic information retrieval systems, as distinguished from the survey data files themselves, is often referred to as a *catalogue*. It is used, just as is a library card catalogue, to determine the location of full survey data needed for particular tasks, but it can also itself contain the most frequently used information about surveyed properties, thus eliminating the need for frequent reference to bulky manual files. The more readily available the key elements of the survey data are, the more likely they are to be used by local planners and others involved in community development.

The amount of information each catalogue entry should contain depends on how the catalogue is to be used. If the catalogue is only to be used as a guide to the location of survey files that are in good order and

are relatively easy to use, it may be little more than an index to the files, each entry including only name, location, classification, and possibly the date of the property. If the catalogue is to be used by groups in different places—planning offices, research centers, libraries—without immediate access to the survey files themselves, the catalogue will be of little use unless it contains more information. If users are likely to want to combine data in different forms for different purposes—to seek out all buildings of a particular style for a research project, for example, or to identify the locations of all historic properties of all kinds in a given area for purposes of development project planning—it will be appropriate for the catalogue to contain still more information. In these cases, it will be far easier to combine and recombine data using the catalogue only rather than to do so by digging through the full body of survey data. A typical catalogue entry in a system designated for substantial use in planning and research might include the name of the property, address, geographical data, property type, owner, short description, and a statement of significance.

The National Register maintains a computerized information system that is a useful model for communities to consider, although some of its data entries are specifically designed for the Register's own purposes and would require adaptation to meet local needs. A current description of the system and its contents can be obtained from National Park Service Regional Offices or from the National Register in Washington, DC.

What form should the catalogue take? Again, the deciding factor is how it will be used. A complicated system may become a burden to those responsible for maintaining it, but a system that does not permit easy cross-referencing and recombination of data for planning purposes, may become an expensive, useless overhead burden on the community.

A fully operational catalogue system should ideally be able to provide:

1. Rapid, easy access to information such as location, names of properties, types of ownership, uses, date, significance, etc.

2. Information services for land-use, policy, and project planning.
3. Comprehensive lists of, and information on, properties or types of properties for setting protection and enhancement priorities.
4. Information on what areas of the community have been surveyed and how comprehensive the survey is to date.
5. Clear identification of the location of further information on each property in the hard data survey files.

The most commonly used catalogue systems are:

1. *Computer-based systems.* These are by far the most flexible and broadly useful of catalogue systems, because of the tremendous amount of information that can be entered into the system, the ease with which information can be retrieved, and the variety of ways such information can be combined and sorted for different purposes. A great many readily available packaged programs for the maintenance and use of files are applicable to the maintenance of a survey catalogue. There should be no need to design a program specific to the community's purposes.

Inexpensive microcomputers are fully adequate for the maintenance and use of survey catalogue data in most communities. There should seldom be any need to use expensive mainframe computers, unless the community uses such a computer for other purposes and can make it available at a competitive price for the maintenance of survey data. Even where use of a mainframe computer is possible, it is wise to design the catalogue in such a way that it can be accessed through microcomputers as well, in order to ensure maximum accessibility by the greatest number of authorized users at all times.

In addition to providing easy access to information such as property location, significance, uses, and owners, a computer-based system makes it easy to eliminate inconsistent information and to correct, update, and add to existing material. Such a system has the capacity to quickly generate complex listings: all buildings located within the path of a proposed highway, all federally owned resources, properties needing restoration or rehabilitation work, buildings certified for rehabilitation tax credits. Readily available file search and graphics programs can make it possible to generate maps showing areas surveyed at different levels of intensity or with reference to different resource types, areas predicted on the basis of archival research or reconnaissance to contain specified kinds of properties, or the distribution of specified property types. File maintenance programs typically include provision for placing security codes on particular files, so that information to which the community wishes to restrict access—for example, archeological site descriptions and locations that might attract artifact collectors—can be kept secure.

As noted in Chapter I, in deciding on what kind of computer-based system to use, the community should consider its needs for consistency with two kinds of larger systems. On the one hand, consistency with other systems used in the community for other purposes is obviously desirable, both to permit sharing of hardware and software and more importantly to facilitate the use of survey data in community planning. On the other hand, consistency with systems used in the storage and retrieval of survey data in larger geographic areas should be considered. Consistency with the National Register Information System will facilitate National Register nominations and certification for tax benefits. Consistency with the system used by the State Historic Preservation Officer will make it easy to coordinate the local survey with the statewide comprehensive survey. Consistency with the systems used by Federal and State planning and land use agencies in the area (Coastal Zone Management, Bureau of Land Management, Forest Service, Corps of Engineers) will help ensure that these agencies will take the local survey data into account in their planning, and will make it possible for the local survey to tap the agencies' information resources. Consistency with the systems of academic institutions, museums, and other non-governmental entities that maintain information on historic properties in the area should also be considered. For example, if a university anthropology department maintains local archeological site files, it may be efficient to design a system that is consistent with that used by the university so that data can be readily shared for both community planning and university research purposes.

2. *Cards.* Card-based filing systems have been made virtually obsolete by the rapid growth of computer technology and the decrease in the cost of computer hardware and software. Before opting for a card-based system, with its inherent limitations, a community should carefully consider its alternatives. A community that adopts a card-based system is very likely to want to replace it with a computer-based system before very many years have passed, and the cost of transferring the data from one system to another at that time may be considerable. If a computer-based system is truly not feasible, however, cards are a reasonable alternative. A 5-by-7 or 8-by-10 inch card can be used simply as a reference to a complete property file, as with card catalogues used in libraries, or it can include such information as name, address, geographical data, building type, owner, short description, and statement of significance. The master card for each property could also include a section of map and a small photograph.

Many different card systems are available from private companies. Edge-punched cards—early precursors of computer-based catalogue systems—use punched holes along the edges of cards as a sorting device. Holes are punched according to a code that

refers to the different data entries; a needle-like device is then passed through the edges of a trayful of cards, and those with the appropriate hole codes are caught on the needle. If well planned, this system may be quite efficient for inventories of under approximately 1,000 sites.

3. *Publications.* A catalogue printed in booklet or other form can be widely disseminated but has the great disadvantage that effective updating requires republication. See Chapter V for more information on publications.

Whatever system or combination of systems is employed, the catalogue should be systematically organized, with each entry thoroughly recorded and cross-referenced to back-up hard data files, and accessible to the interested public and to appropriate user agencies and organizations. Communities seeking certification to participate in the national historic preservation program under Section 101(c) of the National Historic Preservation Act should ensure that their catalogue systems are consistent with the *Secretary of the Interior's Standards for Registration*, which require that registration of historic properties be conducted according to stated procedures, contain information that locates, describes, and justifies the significance and physical integrity of each registered property, and be accessible to the public. The *Standards* permit information on the location of historic properties to be withheld from the public, if revealing such information could cause damage to a property—for example, if revealing the locations of fragile archeological sites could lead to their destruction by artifact seekers.

Hard Data Filing Systems

The hard data on paper and film that are the physical products of the survey must be filed in a manner that not only makes them reasonably accessible but also protects them. In contrast with the catalogue, where accessibility and flexibility of use are the key considerations, in establishing a hard data filing system the archival, curatorial need to maintain the material products of the survey in perpetuity becomes paramount.

The three basic decisions that must be made about devising a filing system are the physical form of the file, the order in which files will be kept, and the protection of the files.

1. *Physical form of the file.* Survey data may be stored in vertical files, one folder per property. In this way, forms, photographs, maps, results of historical research, and other material on a property may be kept together. Such a system of files would facilitate updating information and adding photographs and maps. Looseleaf notebooks may be used in the same way as vertical files. It may be useful to consult an archivist concerning the proper procedure for storing

loose papers. Tapes from interviews may have to be stored separately but should be clearly identified with the names of those recorded, the topic of discussion, and the date of the recording. Special considerations for photograph files are discussed later.

2. *Order.* A common method of organizing files is geographical, that is, properties listed by location (e.g., street) in a logical progression. Districts identified during the survey and analysis processes could be organized in the same way. The advantage to this kind of organization is that location does not change, as a property owner might. Also, although properties may be cross-referenced by historical theme or type of significance, it would probably be more difficult to find properties listed under themes than under locations.

3. *Protection of files.* Consideration should be given to how the files will be protected against loss, fire, theft, mutilation, and physical deterioration. It may be advisable to provide an archival backup in case of damage to or loss of the original files. Microfilm is a relatively inexpensive backup, especially microfiche jackets for records that are frequently updated.

Repositories

It is important for survey documentation to be filed in a location that is convenient to planning officials and interested individuals alike. Ideally, this will mean the local planning department, where extensive use of the information will be made, or some other official branch of local government equipped to handle public records (town or county archives, hall of records, etc.). The local historic preservation coordinator's or commission's office, as a center for preservation information and activities, is a logical repository. If there are no public facilities equipped to handle these files, a private historic preservation organization or local historical society might be able to provide temporary storage. Since data gathered through a publicly funded survey belongs and should be available to the entire community, a private entity would probably not be appropriate as a permanent repository.

With regard to repositories for archeological information, it is imperative that the locations of archeological resources be treated as confidential with access to the records limited to qualified researchers and planners. Many State Historic Preservation Officers and State archeologists have procedures for limiting access to this information.

Photographic Files

Photographic files should be able to accommodate three kinds of photographic material: prints, negatives, and slides. Photographic materials require special conditions for storage and handling. Because of their varying size, use, and conservation needs, they should be filed separately from paper records

and from each other. They should be stored in a location having a moderately low relative humidity and cool temperature, safe from direct sunlight and air pollutants such as dust, smoke, and chemical fumes. Temperatures from 65 to 68 degrees Fahrenheit with a relative humidity of 40 to 45% should provide both proper storage and comfortable working conditions. Photographic materials should be stored vertically in baked enamel metal filing cabinets (wooden boxes or cabinets contain harmful resins and glues). If protective envelopes or sleeves are used, they should be made of inert materials such as polyester, triacetate, polypropylene, or polyethylene (cellophane and glassine envelopes should not be used). Files should be free of paper clips, rubber bands, glues, tape, papers or cardboard, or other materials that will in time damage the photographs. White cotton gloves should be used when handling photographic materials, and materials should always be handled along the edges so that the emulsion is never touched.

Photographic prints may be stored most easily if they are mounted on acid free or alkaline buffered cardboard of a standard size; the dimensions of the board should be greater than those of the photograph to allow for handling without touching the photograph. Prints receiving considerable use may also be placed in clear plastic envelopes, sleeves, or print files made of inert materials (polyester, triacetate, etc.). For long-term stability, photographs should be archivally processed on fiber-based photographic paper (resin-coated papers should not be used); if mounted, photographs should be held in place by paper hinges attached with wheat starch paste (dry mount tissue or adhesives such as rubber cement should not be used). The mounting board or envelope should be labeled with the name of the property, identification number, location, view (e.g. SW elevation), photographer's name, and date of the photograph. Photographs may be organized by geographical location or property name or number.

Historic photographs, exhibition prints, or photographs for which no negatives are available should receive special care. They should be filed separately from paper records or other kinds of photographic materials. If regular usage for publication or study is anticipated, reference prints should be made and the originals stored under archival conditions. Because they can be replaced, reference prints do not require the archival storage condition of original materials and may be filed with other

materials, including survey forms, maps, and other documents.

Negatives should be stored in acid free or alkaline buffered envelopes made of inert material (polyester, triacetate, etc.) with the emulsion side away from any seams. Large format negatives (5-by-7, 4-by-5, etc.) should be placed in separate envelopes. Smaller negatives (35 mm), which come in rolls, should be cut into strips 5 to 6 frames in length (do not cut into individual frames; this makes storage and printing difficult). Each strip should then be stored in a separate plastic sleeve or envelope made of inert material. Clear plastic negative files are available that provide pockets for 5 or 6 strips having 5 to 6 frames each, making it possible to store an entire roll on one sheet and to locate easily a specific frame. Negatives may be classified using a simple three-part numbering system which identifies the film format, number of roll, and frame number. For example, the number 35-110-12 identifies the 12th frame of the 110th roll of 35 mm film. Protected negatives may be stored by consecutive roll and frame numbers and cross-referenced according to location, or may be filed directly by location.

Because negatives are generally original material and cannot be replaced, they should be stored separately from other materials under archival conditions. Contact prints may be made for filing with other survey records. A form attached to or filed with the contact print can easily reference the roll and frame numbers, and provide information for each negative such as property name, location, identification number, name, view, photographer, and date.

Slides should be stored separately from other materials in closed baked enamel metal compartment files. Because color materials are more susceptible to deterioration and damage due to heat, light, and humidity than other photographic materials, color slides should be stored at a lower temperature, between 50 to 60 degrees, if possible. Slides should always be handled along the cardboard mount, and placed in clear plastic sleeves made of inert material when being transported or used for study purposes. Information including property name, location, identification number, view, photographer, and date may be printed on the cardboard mount. Slides may be filed in various ways including geographical location, property name, or identification number.

Use of Survey Data in Planning

The U.S. Supreme Court, in its decision *Penn Central Transportation Co. v. New York City*, commented that *identifying (historic) properties and areas . . . is critical to any landmark preservation effort* (438 U.S. 104, 110, 1978). The Conservation Foundation's *Handbook on Historic Preservation Law* (see Bibliography), commenting on the Court's observation, notes that *surveys are a key element in making city preservation planning and development goals complementary*. But how does this *key element* relate to other aspects of planning? This section will address questions about how survey data can actually be used.

Since each community's planning needs are unique, this discussion will necessarily be general, and some elements of it will apply to some communities better than others.

Two kinds of planning will be discussed: *preservation* planning and *community development* planning. These are not unrelated; indeed as will be stressed, they should be closely coordinated, and they often involve the same activities and strategies, but they will be discussed individually here for ease of presentation.

What are the major components of preservation planning?

Preservation planning, as used in this publication, means planning for the continued identification and evaluation of historic properties and for their protection and enhancement. Ideally these efforts should be guided by a *comprehensive historic preservation plan* that integrates the various activities and gives them coherence and direction, as well as relates the community's preservation efforts to community development planning as a whole.

A comprehensive historic preservation plan typically has several elements: an *identification* element, an *evaluation* element, and a *protection* element, the last

incorporating a range of possible strategies for keeping historic properties in place, maintaining their integrity, and, in the words of the National Historic Preservation Act, letting them *exist in productive harmony and fulfill the social, economic, and other requirements of present and future generations* (16 U.S.C. 470-1(1)). A realistic preservation plan will also include provision for those instances in which historic resources *cannot* be physically preserved—when other community needs demand that they be removed, demolished, or dug up.

How are survey data used in ongoing identification?

As the survey progresses, it is almost certain that historic contexts not recognized or fully defined at the time the survey was planned will become evident. Sometimes contexts that were initially defined very broadly are divided into multiple contexts as they are refined based on incoming survey data. For example, an initial context might be the *development of warehousing as a major city industry* and, as survey data developed, it might be found that in fact the city's history had been characterized by two major phases of warehouse development—one associated with steamship commerce, the other, in another period of

time, with railroads, and each represented by distinctive kinds of warehouses in different parts of town. Dividing the context into two would be appropriate to ensure that both kinds of warehouses and the historic and architectural significance of each were given due consideration.

Within each context, the analysis and synthesis of incoming survey data will almost always lead to the identification of property types and locational patterns not fully anticipated at the time the survey was planned, resulting in continual adjustments to the

survey design. As information gaps established as priority targets for survey during initial survey planning are filled, new gaps will become apparent. This should not be a surprise, but should be welcomed as evidence of a maturing survey effort. The incoming survey data should be used to adjust and retarget subsequent phases of archival research and fieldwork.

To take maximum advantage of the natural feedback between the survey work itself and survey planning, it is usually wise to conduct survey in phases, first conducting a broad-brush reconnaissance, then using the

results of the reconnaissance data to design subsequent phases of work. Unless some urgent development priority demands it, it is usually unwise simply to undertake a community-wide intensive survey at the outset, or to target a particular area for intensive survey while postponing giving attention to the rest of the community. Lacking the information provided by initial reconnaissance of the entire community, the intensive survey is likely to be poorly focussed, and important resources may be unnecessarily lost.

How are survey data used in making evaluation decisions?

Survey data obviously provide the raw material on which decisions about the significance of particular properties are made, but they are important to evaluation decisionmaking in more subtle ways as well. Since decisions regarding the evaluation of properties involves placing properties in historic contexts, the more that is known about a given context, the better will be the evaluation decisions made about particular properties. Recalling the example given above, for instance, when the question of how many and which warehouses to nominate to the National Register arises, the answer may vary considerably depending on whether a single warehouse-related context or two such contexts are recognized. In short, as the survey progresses, evaluation decisions should become steadily better and better informed. The level of information upon which an evaluation decision is made can be particularly important if the decision is likely to be controversial. Where a decision is likely to be challenged, for example by a property owner who feels that recognizing a building as historic will impede its demolition or by preservationists who feel that a property is more historic than the survey data indicate, it is essential that the decision made be based not only on information about the property itself but also on the historic context of which it is (or is not) a part.

Evaluation decisions can be made on the basis of incomplete survey data, but it is wise not to make them without *some* information on the community's historic contexts and their component property types. As a result, it may be best, unless there is some urgent reason to do otherwise, to defer decisions about the significance of particular properties until at least some initial survey data have been collected concerning the

relevant historic contexts. For example, even though a particular property owner is very anxious to have his or her building nominated to the National Register at the very outset of the survey effort, it may be in the best interests of an orderly and defensible process of evaluation to defer the nomination until at least reconnaissance-level data are available on that particular context or contexts to which the building may relate. More importantly, a decision that a given property is *not* significant should never be made without access to a reasonable body of survey data on relevant historic contexts, since such an uninformed decision may result in the property's destruction without attention to its historic values.

This is not to say that no evaluation decisions should be made until the survey effort has reached some particular level of maturity; sometimes there are good reasons to give priority to consider the significance of a particular property before much contextual information has been gathered. For example, if a particular site or structure is threatened by a development project, or if an evaluation of a building is important to a rehabilitation plan, it may be necessary to give the property's evaluation a higher priority than would normally be the case in the overall survey process. When an evaluation must be made without a firm understanding of the relevant historic contexts, however, it should be made on the basis of as much relevant data as it is possible to accumulate, and with full recognition of the fact that it may result in the destruction of a property that might later on the basis of complete survey results be found to be very significant, or in the investment of money and other resources in a property later found to lack historic value.

How can survey data contribute to strategies for the preservation and enhancement of historic resources?

A community historic preservation plan may include a wide range of strategies for the preservation and enhancement of historic properties. A summary of

many such approaches can be found in *Remember the Neighborhoods*, by the Advisory Council on Historic Preservation (see Bibliography). Several commonly

used strategies will be discussed below, with reference to the contribution survey data can make to them.

General Historic Preservation Ordinances

Community-wide historic preservation ordinances are effective ways to ensure that historic properties are considered in community planning as a whole, and in the development of different areas of the community. A community seeking certification under Section 101(c) of the National Historic Preservation Act must have and enforce such an ordinance. The Conservation Foundation's *Handbook on Historic Preservation Law* (see Bibliography) gives a good outline of the key provisions of a general-purpose preservation ordinance (though with insufficient attention to the treatment of archeological sites), and provides useful advice about how to draft such ordinances.

Theoretically, a historic preservation ordinance could be established based on no information at all about a community's historic resources, but merely on the general supposition that there might be something in the community having historic significance. In fact, however, some body of information on the community's resources is usually necessary simply to generate the awareness that there is something to protect, and the more survey data that are available, and the more comprehensive such data are, the better the ordinance can be drafted to address the community's actual preservation opportunities and constraints.

Historic preservation ordinances typically provide for the existence of a review body of some kind to oversee the preservation program and specifically to make evaluation decisions. Survey data can help define the kinds of expertise that should be represented on the review body. For example, if on the basis of initial archival research or other survey work it appears that the community was the site of significant prehistoric development, the presence on the review body of an archeologist specializing in prehistory might be called for, while if it appears that the community contained many buildings representing different schools of design, periods of construction, and architectural styles, the presence of an architectural historian would be appropriate. Representation by sociologists or anthropologists might be called for if evaluation decisions were likely to involve the consideration of ethnic neighborhoods or other resources associated with particular contemporary social groups.

Ordinances also spell out the scope of authorities assumed by the review body and the preservation program it oversees. Survey data can help define what authorities are needed. If the community contains many historic buildings that may be candidates for adaptive use and rehabilitation, but which may also be subjected to insensitive renovation, the preservation program may need to have the authority to review and approve renovation activities as well as

outright demolition. If the visual qualities of certain streetscapes are likely to be important, the program may need the authority to review alterations to building exteriors. If the community is likely to contain significant subsurface archeological resources, the program may need the authority to review grading permits or other authorizations for ground disturbance.

Finally, ordinances usually set forth the procedures and standards that will be used by the preservation program in evaluation decisions and in decisions about approval or disapproval of particular kinds of activities that may affect historic properties. Survey data can help ensure that such procedures and standards are actually appropriate to the community's resources. For example, if the community's central business district contains many historic buildings suitable for rehabilitation, ordinance drafters may want to pay particular attention to the establishment of standards for rehabilitation and procedures for reviewing renovation projects. If an important historic context is agricultural development in what are now the suburbs of a city, special attention may need to be paid to standards and procedures for dealing with visual and physical intrusions on surviving farmsteads and agricultural buffers.

The relationship between the survey process and the development of an ordinance is a dynamic one. On the one hand, the ordinance will be most sensitive to the community's needs if it is based in part on some survey data. On the other hand, the survey will probably be most effective if it is backed up and structured by an ordinance. If a community has the luxury to establish its preservation plan in an orderly, step-by-step manner, it may be best to conduct at least initial survey planning, establishing basic historic contexts, and perhaps to conduct some level of reconnaissance work, before drafting an ordinance, and then to draft the ordinance with an eye toward facilitating further survey as well as fulfilling other preservation objectives. In any event, drafters of ordinances should take into account whatever survey data is available as they carry out their work.

Historic District Ordinances

Historic district ordinances differ from general historic preservation ordinances in that they apply only within particular designated historic districts and in that they are typically much more specific in their terms. They often provide that particular kinds of changes, for example, any alteration to the exterior of a building or structure, can be undertaken only after issuance of a permit by the city historic preservation office or by a historic district commission. Drafters of historic district ordinances will need survey data of the kinds discussed above, but in addition, of course, survey data will be needed to define the historic district to

which the ordinance applies. If the district is to be nominated to the National Register, fairly complete data based on intensive survey will be needed. If it is to be designated at the local level only, less (or in some cases, more) information will be required, depending on local law and policy. To establish justifiable controls, it is necessary to know enough about the historic resources that make up the district to decide what their important characteristics are, and for this task, good survey data are needed.

Financial Incentives

Financial incentives for the preservation, rehabilitation, and adaptive use of historic properties can take many forms, some carried out completely at the local level, some featuring a partnership with State and Federal agencies. Examples include:

- *tax incentives*, such as Federal investment tax credits and local exemptions from or reduction of property tax;
- *grants* from the State Historic Preservation Officer, the National Park Service, the Department of Housing and Urban Development, the National Endowments for the Arts and Humanities, the National Trust for Historic Preservation, and other public and private agencies;
- Federal, State, and local *subsidies* to assist key businesses and to support low-income housing, helping to stabilize deteriorating commercial areas and neighborhoods; the Department of Housing and Urban Development has published examples of such programs that are worth consideration (e.g., *Leveraging your CDBG*, see Bibliography);
- *the charitable contributions of partial interest* in an historically important land area or certified historic structure that can be deducted from taxes; and
- *the use of revolving funds and low interest loans* to support such activities as sensitive rehabilitation and facade restoration.

Information and advice on possible financial incentives can be obtained from the State Historic Preservation Officer. Survey data are important in the administration of financial incentive programs not only to identify specific historic properties whose owners or developers might be offered such incentives, but also to give the community an early idea about what kinds of incentives might be appropriate. To return to an earlier example, the community whose central business district contains many buildings that could be rehabilitated may want to give special attention to tax incentives for rehabilitation, and perhaps to donations of facade easements, while the community whose agricultural hinterland is important may take special interest in the purchase or receipt by donation of conservation easements.

Archeological Programs

Programs to protect and use archeological sites come in several forms. Provisions applicable to other kinds of historic properties can be adapted to archeological purposes; for example, conservation easements can be used to protect archeological sites from land disturbance, and tax credits can be offered for the contribution of funds to archeological excavation or for the contribution of the artifacts recovered from such excavations to the government or a non-profit corporation. Preservation ordinances can provide for the review of grading permits and other actions that permit subsurface disturbance, and can require that archeological salvage excavations be done when a significant site is to be disturbed.

All these provisions can be best and most sensitively put in place if some survey data are in hand. For example, development interests in a community may object strenuously to an ordinance giving a preservation program review authority over all grading permits, but may object less if the authority is restricted to particular areas where survey data indicates the likelihood of significant subsurface resources.

Because archeology is concerned with the preservation, recovery, and interpretation of information about the community's past, there are certain strategies that can be applied to archeological preservation more effectively than to the preservation of other kinds of resources. Salvage archeology—the excavation of sites that must be destroyed and the translation of the data they contain into books, archives, and exhibits—is an example of such a strategy. There is a great potential for public involvement in salvage archeology, which typically requires a large workforce and many skills and levels of experience. Some communities have *public archeology* programs that stimulate interest and provide recreational opportunities under professional supervision while supporting local museums and interpretive programs and salvaging archeological sites at low cost. Such programs not only use survey data to determine where to dig, but also can be used to carry out the archeological component of a survey program itself. An excellent example of such a program is described in the National Park Service publication *Approaches to Preserving a City's Past* (see Bibliography).

Interpretive Programs

Programs that interpret historic properties, and the community's history, prehistory, and architecture in general, for the public can be powerful tools in preservation. They can generate public interest in and sympathy for preservation, and make the objects of preservation understandable to taxpayers, voters, and decisionmakers. Examples of interpretive programs include the development of house museums, the sponsorship of walking tours, the publication of brochures and books on the community's past, the

establishment of displays in museums, public buildings, and open spaces, and the on-site interpretation of historic buildings, structures, and sites.

Survey data are important to interpretive programs not only for the identification of properties that may be interpreted, but also for the establishment of contexts in which interpretation can be carried out. An interpretive program will be most meaningful to the public if it presents an integrated view of the community's past, based on significant history contexts developed in the course of survey work.

Public Involvement

The more the public can be involved in a community's preservation program, the more likely the program is to succeed. Not only can survey data contribute to public support by helping the public understand what is important about the community's past, but the survey effort itself can be a powerful stimulus to public involvement. Because a survey can, and indeed must, draw on a wide range of talents, and because most survey work can be done by trained volunteers under professional supervision, a community's residents can become deeply involved in the conduct of the survey itself, and it can serve to catalyze their participation in the community's preservation program as a whole.

Where Destruction Must Occur

Historic properties cannot always be preserved in place, even with the best of preservation plans and programs. Modern economic and social requirements

sometimes cannot be accommodated by the adaptive use of historic buildings, and in the competition for urban space, such buildings must sometimes be the losers no matter how earnestly the community may wish to preserve them. Archeological sites are even more prone to destruction, since even a rehabilitation project may involve disturbance of the ground under and around a building.

Where historic properties must give way to modern development, or to natural processes of erosion and decay, several strategies can be undertaken to avoid complete loss. In some cases historic buildings can be *relocated* to new sites with compatible surroundings where they can be preserved and rehabilitated. Often such buildings are *marketed* for relocation—offered for sale at a low price (the cost of demolition, or less) to anyone who will relocate and rehabilitate them. If demolition must occur, buildings are often *recorded* so that a body of information will remain about them. The Historic American Buildings Survey and the Historic American Engineering Record, both in the National Park Service, can provide detailed information on architectural recordation. In some cases, architectural elements are *salvaged* for reuse in new development, or for curation in a museum. Archeological sites are often subjected to *salvage excavation* or *data recovery*; this involves the conduct of archeological research aimed at extracting the useful information such sites contain before they are destroyed. Guidelines for archeological salvage research projects, and examples of such projects, can be obtained from the National Park Service.

How can survey data be used in community development planning?

Historic preservation can be viewed both as an opportunity for community development and as a constraint upon such development. In the past it has largely been viewed as the latter; today it is increasingly seen as the former, but in fact it properly is both.

From the standpoint of constraints, such survey data as the description of historic contexts, predictive maps, and inventories are vital to the identification of conflicts between development planning and local preservation priorities, and can facilitate determining what will need to be done to meet State and Federal environmental review requirements. From the standpoint of opportunities, survey data can be used to identify the historic contexts and their constituent elements—buildings, streetscapes, building uses, cultural activities, and other resources—on which community development can build in order to make the most of the community's unique historic qualities. Ideally, development planning should use survey data to identify opportunities for the use of the community's historic character in creating its future, to minimize conflicts between preservation and develop-

ment, and to provide for the orderly resolution of those conflicts that inevitably will occur.

The National Park Service publication *Economics of Revitalization* (see Bibliography) provides a prescription for integrating historic preservation positively into development planning. The essential steps in the process involve:

1. Identifying opportunities and constraints, including:
 - defining and characterizing the target area,
 - identifying community goals,
 - identifying assests for and constraints on development,
 - identifying the Federal, State, and local regulations that might control or influence the development, and
 - describing existing proposals or alternatives for development.

2. Overview analysis of:

- market dynamics,
- investment climate,
- the capabilities of the community and the developer(s) involved,
- the social and community interests and concerns that pertain to the development area, and
- the potential of the development to catalyze additional positive development.

3. Screening options, involving assessment of:

- economic impacts, both positive and negative,
- social impacts, both positive and negative,
- the potential of each option to catalyze further positive development, and
- the development opportunities that will be foregone if a particular development option is chosen.

Survey data are vital to carrying out many of the above steps in orderly development planning. It is obvious that survey data can and should be used to identify development assets such as historic buildings suitable for rehabilitation and adaptive use, and historic neighborhoods whose cultural cohesion provides a basis for economic growth without loss of character or displacement of residents. Survey data can also be useful in identifying community goals and social interests and concerns, especially with reference to the goals of neighborhood groups, social groups, businesses, and others who may wish to preserve and enhance the historic and cultural character of particular areas of the community. Similarly, survey data can provide a basis for measuring aspects of the social impact of a proposed development, by identifying the kinds of changes that will be welcome and those that will be distasteful to those who value the character of the areas that may be affected. Survey data can also help in the assessment of a project's catalytic potential, by identifying properties and areas with the potential for rehabilitation and reuse in the vicinity of a proposed development project.

Ideally, development planning should relate to an area's historic resources in a positive manner, viewing existing structures, views, streetscapes, social groups and activities, and cultural attributes of the area as things to be understood and built upon. Using survey data at an appropriate scale, development planning should seek to characterize the historic resources of the area and to identify the key elements that define its character—both such tangible elements as buildings, street plans, and archeological sites, and such intangible elements as social groups and patterns of activity. These should be used to help define the development plan in a way that uses the area's character rather than destroys it.

Even where survey data cannot be integrated into planning in such a positive manner, such data are still vital in identifying constraints and in establishing orderly processes for dealing with them. At a bare minimum, what a development planner needs to know about historic resources is a) where they are and b) what can feasibly be done to care for them in the development process. Survey data can, of course, provide such information. A completed survey will allow planners to identify precisely what historic resources exist in a proposed project area and, by providing a statement of each property's significance, will provide one key piece of information needed to determine how each property should be treated.

However, a survey need not be completed to provide vital information for development planning purposes. For example, based on archival research and reconnaissance level field investigation of an area where development is being planned, it should be possible to document:

- the historic contexts relevant to the area;
- the basic types of historic properties likely to be found;
- the contemporary cultural, social, and economic uses of such properties, and the way these structure the use of space;
- the general changes that are occurring in the architectural fabric and social uses of the area;
- the social groups, ethnic groups, organizations, and others having historic and cultural interests in the area;
- the historic preservation goals and priorities that currently apply to the area, and to some extent, likely future goals and priorities;
- in some cases, the mechanisms that might be used to resolve conflicts with preservation-related interests, and
- sources of additional information on the area's resources.

For example, imagine that a community wishes to undertake a program to revitalize an area consisting of an economically depressed residential neighborhood and a commercial street, and that an historic resources survey of the area has progressed only to the reconnaissance level. Based on archival research, windshield survey, interviews with local residents and organizations during survey planning, and minor archeological fieldwork, the survey data might document:

1. Three major historic contexts are thus far known to be relevant to the area. The earliest is based on use of the area in the 18th century as a cattle ranch, and is important to economic historians studying the early

development of the beef industry. The second involves commercial development stimulated by economic boom conditions in the 1880s and 1890s, and the third is the immigration of ethnic populations during the early 20th century.

2. It is unlikely that any standing structures survive to represent the cattle ranching historic context, but the archeological remains of the ranch center are likely to occur in a two-block area under existing low-density housing. Many of the area's commercial buildings date from the late 19th century boom. The neighborhood subject to effect by the project includes row houses built originally to house Irish immigrants and later adapted by an Italian immigrant group; the area remains heavily influenced by Italian customs today.

3. The cattle ranching historic context has no apparent influence on modern uses of space, and its archeological sites are not significantly influenced by contemporary activities. The commercial buildings continue in use, primarily serving the day-to-day needs of the neighborhood. The neighborhood appears to be close-knit; archival research and initial interviews indicate that related families tend to occupy adjacent or nearby houses, where they regularly interact and assist one another. Field reconnaissance suggests that this has resulted in the formation of somewhat distinctive mini-neighborhoods in which exterior painting, landscaping, and minor details of architectural ornamentation vary from one group of families to another; it is assumed that the same patterns would be observed if the interior organization of houses were examined.

4. The entire area is suffering decay as a result of its depressed economy. Owners of commercial buildings have damaged their buildings by deferring maintenance and by using inappropriate materials and techniques to cover up damage or to *modernize* the appearance of the buildings. In the residential neighborhood, it appears that some clusters of houses, representing particular groups of families, are well maintained, while other clusters are rapidly deteriorating. It is assumed that the well-maintained clusters represent groups of families that continue the tradition of cooperation and self-help, while those that are deteriorating reflect family clusters that are disintegrating.

5. A group of businesspeople has been cooperating with the survey, and its members have expressed interest in rehabilitation. A neighborhood group has expressed suspicion about the intentions of the survey team during initial interviews, but its representatives have spoken eloquently about their desire to retain the character of the neighborhood and reverse the patterns of disintegration they observe around them.

6. Current preservation goals applicable to the area include determining the integrity and significance of any archeological remains of the cattle ranching historic context, defining the significant characteristics of the area's commercial buildings as a basis for rehabilitation planning, and studying the residential neighborhood as a potential historic district. Dealing with the commercial buildings is given highest priority because of their deteriorating condition and the interest that their owners have shown in rehabilitation. Study of the neighborhood is given second priority because of the potential for using historic preservation strategies over the long run to help its residents reverse the process of decay. Addressing the archeological remains of the ranching context is given lowest priority because the remains are in no immediate danger.

7. The businesspeople do not form an organized group, but could probably be brought together to cooperate with local government and developers in a redevelopment effort. Some of the major leaders of the residential neighborhood do not speak English as their first language, so efforts should be made to ensure that project plans are described and discussed in Italian as well. An effort should be made to ensure that representatives of each family cluster are contacted to discuss project planning, preferably with the cooperation of trusted neighborhood leaders.

8. A master's thesis on file with the history department at a nearby college is the major organized source of information on the cattle ranching historic context, and describes how the location of the ranch center was established through the study of historical records. The anthropology department at the same college developed a proposal for a field school in historical archeology at the ranch center site, but failed to obtain funding; this proposal could serve as the basis for designing a testing program to determine what physical remains actually exist on the site, and perhaps for designing an archeological salvage project if the site is to be disturbed. The boom period of the late 19th century is well documented in records on file at the local courthouse and in the city library, though little work has yet been done on the study of its architectural products *per se*. Initial interviews have resulted in the identification of several individuals who can provide oral historical and ethnographic information on the Italian use of the residential neighborhood, but information on the initial Irish period is very sparse at present.

Based on such information, development planners and preservation authorities can work together to integrate preservation goals and priorities into the development process. Disturbance of the area likely to contain the remains of the historic ranch can be avoided if possible; if avoidance is not feasible, an archeological program can be designed to establish what remains actually exist and, if they have real value for research,

to recover pertinent data from them. Businesspeople interested in rehabilitating their buildings can be organized to work with developers and planners, and the project can be planned to the extent feasible to be compatible with their interests. Revitalization of the neighborhood can be planned to build on its social strengths and perhaps to correct the weaknesses that are leading to its deterioration, preserving its cultural character and, thereby, its particular architectural values.

Not all of these happy results may be possible. It may not be feasible to preserve so much of the area's historic and architectural fabric and still have an economically viable project. Even if in the end nothing is preserved, however, the application of survey data will not have been in vain. If nothing else, the data will provide the basis for understanding what is being lost and making informed decisions about whether to sacrifice it. It will also provide the basis for considering measures to mitigate loss of the resources, through relocation, recordation, and salvage. Finally, it will help ensure that people and groups interested in preserving and maintaining the character or the area participate in the planning process, rather than feeling that the project was imposed upon them without considering their concerns.

The major point to be remembered is that survey data can be mobilized and employed at virtually any point in the progress of a survey to provide information useful in development planning. If the survey itself is well planned, at each step in its progress survey leaders will have some idea of the historic contexts relevant to various parts of the community, and some set of goals and priorities for each context. Development planners should take these goals and priorities into account in carrying out their work, seeking to address them in carrying out their own programs.

If the survey is at a very early stage when it intersects with development planning, development planners will be able to draw only on general, preliminary survey data. They will probably have to be prepared for planning delays while historic contexts are developed, initial surveys are conducted, and preservation goals and priorities are established, before they can try to blend such goals and priorities with those of development. As the survey matures, development planners will have to worry less and less about the identification of contexts and properties and the establishment of goals and priorities; these will have been established, and the challenge for development planners will be to seek ways to accommodate them.

Survey data are most useful to development planning if they are systematically integrated into the community's general planning. This is done by establish-

ing a preservation element in the community's general plan, and by adjusting the general plan as a whole to ensure that the guidance it provides to decisionmakers is not inconsistent with preservation interests. *Zoning* is of particular importance to preservation. Whatever incentives to preservation a community may adopt, if its zoning is designed to encourage high-density development of areas containing historic resources, such development is likely to occur. It is desirable to incorporate historic preservation concerns into a community's zoning system, so that historic areas and areas around key historic sites and structures are zoned only for development that is compatible with the character of the historic resources. If this is not feasible, then the general plan may overlay onto the zoning plan a requirement for review and approval of development schemes by an historic preservation or architectultural design review body.

Ideally, the historic preservation component of a community's general plan should be *comprehensive*—that is, it should deal with all kinds of resources important to understanding, appreciating, and experiencing the community's past. This requires that the community have at least the results of some archival research, and usually some reconnaissance-level survey data, in hand when it begins work on the plan. Enough should be known to have at least a general idea about such matters as:

- an initial formulation of historic contexts that may have characterized the community's history;
- whether the community is likely to have significant prehistoric or historic archeological resources, and in what areas these may be concentrated;
- the general types of buildings and structures that make up the community's built environment, and what their major important characteristics are;
- the general locations and boundaries of likely historic districts;
- the general nature and characteristics of any cultural landscapes; and
- the social and cultural characteristics of the community and its neighborhoods that may influence preservation decisions.

At the same time, it should be remembered that a survey need not be complete to serve as the basis for development of a preservation plan. Plans can be developed at relatively early stages in the conduct of a survey, as long as they provide for ongoing survey and evaluation, and for adjustments to the plan itself as new survey data are acquired.

Publications

One of the major ways in which an historic resources survey benefits historic preservation in a community is that it builds public awareness of the community's built environment and historic heritage. As the survey progresses toward completion, increasing amounts of information will be available to help achieve this objective. Publications using this information are an effi-

cient means of communicating preservation concerns and recommendations to a variety of people in the public and private sectors—community planners, local decisionmakers, residents, and educators. This section discusses ways of making survey data available to a broad audience through a range of publications and promotional material.

What should be published once a survey is completed?

The decision of what and how much to publish depends on the community's own goals and priorities. Among the factors to consider are the purpose to be achieved, the potential audience of the publication, and the amount of money available for publication. Communities should be aware that publication may be the single most expensive part of the survey process. A publication is evidence of local commitment to ongoing preservation activity, however, and may be instrumental in generating enthusiasm and obtaining support and funding for carrying out the overall community preservation plan and other preservation projects.

A single publication that attempts to convey the full range of detailed survey information may be overwhelming. The general public may be interested in some but not all of the information that is important to the professional historian, archeologist, architect, or planner or to local government officials. All may be interested in the historical, architectural, and archeological resources of their community, but extensive explanation of methodology, standards and criteria, and development and alternatives for further action may be of interest only to limited, particular audiences.

To make effective use of survey data, a community may want to schedule several publications reflecting the varied interests of local citizens and organizations. General interest publications can provide information on the architectural, archeological, historical, cultural, and environmental character of the community. Pub-

lications that can make citizens aware of their cultural heritage and provide the impetus for local preservation activity include summaries of local history and prehistory, guidebooks, historic and archeological monographs, photographic essays, illustrated selections from the inventory, and leaflets on individual properties or areas. Other ideas include the production of walking tour maps and posters summarizing survey results or illustrating the community's heritage.

Publications containing more technical information may be used to communicate the goals and methods developed in the preservation plan to local administrators and decisionmakers. These may summarize an entire inventory, present the results of archival research, reconnaissance, or intensive survey as overlay maps showing areas where particular kinds of historic properties may be expected, present the survey process and methodology, and provide detailed guidelines for preservation, restoration, or rehabilitation.

The following types of information should be published as the results of surveys, though not necessarily all in the same volume:

- The name of the group or agency conducting the survey and identification of personnel involved.
- A brief introduction to preservation and explanation of the reasons for undertaking the survey.
- A brief description of the historic contexts, goals, and priorities that structured the survey.

- An explanation of criteria used in evaluating properties.
- An explanation of survey methodology.
- A general description of the area covered by the survey.
- A discussion of the historic property types representative of each historic context.
- Particularly in the case of a reconnaissance level survey, a discussion of the likely locational distributions of different historic property types.
- Examples of, or a complete list of, the properties identified. A list of some or all properties in the inventory. If a large number of structures and sites are included in the inventory, description of all the properties may prove overwhelming to the general reader.
- Illustrations of significant resources; maps, photographs, line drawings.
- A discussion of the visual and physical interrelationship among environmental features, large and small, manmade and natural. Discussion of the visual effect of new buildings juxtaposed with older ones; pivotal structures with less important neighbors; the relationship of buildings to open spaces. Discussion of natural features such as rivers, bluffs, and hills which define an area's character; also other elements such as vistas and views, paths, focal points, *edges* and land-

marks, signs, graphics, landscaping, pavement, lighting, and street furniture. Discussion of pertinent social and cultural characteristics of historic districts and other properties.

- Outline of long and short term goals (as defined in the preservation plan).
- Recommendations for community action based on the survey, and discussion of techniques and strategies for accomplishing these objectives: legal and financial tools, sources of funding, architectural and planning options.
- Information explaining how the survey may result in or affect local designations, and how the local historic preservation commission and review process, if any, function.
- Glossary and bibliography.
- Additional planning data, such as current building use, social factors, and zoning.
- State, Federal, and local preservation activity, related groups, and programs.
- Storage and repository systems; explanation of where and how to find information on properties surveyed.

What are some considerations in production and distribution of survey publication?

The primary considerations in production and distribution are the format and quality of the publications desired, the intended means of distribution, and the amount of funding needed. Funding a publication usually involves resourcefulness, imagination, and persistence. Although a community should expect to bear most, if not at all, of the cost of publishing, Federal and State funding sources can sometimes be helpful; the State Historic Preservation Officer should be consulted for advice. Locally, businesses and chambers of commerce may be persuaded to underwrite the cost of such publications; also, groups whose members were involved as volunteers in the survey process may wish to contribute, as may other civic groups and clubs. Realtors and organizations of realtors may contribute to publication, particularly where they are active in the sale of real estate in historic districts. Editors and designers may also be persuaded to donate their time to production of the publication. An alternative means of paying for publishing costs is to obtain the services of a local university or environmental press willing to undertake such a publication. Bank loans may provide another means of funding publications; though rare, the technique has been used successfully by several organizations.

In creating a publication, it is important to consider format and tone. Well-designed publications will communicate the urgency and challenge of preservation efforts, educate residents and local officials, and stimulate greater visual awareness; unwieldy, verbose, or visually unattractive publications can negate the impact of the most interesting and valuable body of information. In tone, format, and content, a publication should be designed to interest as well as inform those to whom it is directed. A well-designed publication need not be expensive: imaginative use of line drawings, type copy, and paper color will enhance format at relatively little cost.

Obtaining the services of a designer, and possibly an editor, may result in a more professional-quality publication. Ideally, editors working on the project should have done similar work (with local historical or environmental groups, for example), and have interest or experience in preservation. Designers should be familiar with paper stock, typefaces, and page design, and be able to deal effectively with photographs, drawings, maps, and other graphic material.

A printer is usually selected on the basis of bids, and the press selected is generally the one that offers the

best quality at the lowest cost. Usually a publication schedule is not worked out until the project is well underway, at a point when the project manager can estimate the number of pages, amount of graphic material, kind of paper, type of cover, and number of copies needed.

Distribution and promotion considerations apply primarily to general interest publications. For these publications, alternative methods of distribution need to be considered: whether a publication is to be distributed free of charge (i.e., to every house in a particular area, at a lecture, tour or other event, or at a particular location), or sold. If sold, will it be sold by a particular organization or commercially, and at cost or for profit?

What are some alternatives to traditional publication?

It should be stressed that there is seldom a need to publish all the data resulting from a survey; what is important is to make it available to those who need it for planning and related purposes. The basic survey data should be maintained in flexible, open-ended files with appropriate catalogue systems, as discussed in Chapter III. Publications should present summary data, data needed to back up plans and recommendations, and material of direct public interest.

In the storage and presentation of primary survey data themselves, micropublication may be useful and economical. The most common form of micropublica-

tion is microfiche, where each 4-by-6 inch plastic fiche contains the images of up to 100 pages of text and pictures. Commercial microfilming companies can generally produce multiple copies at a much lower per-page cost than printing companies. Such newer technologies as videodisc recording should also be explored; videodisc recording is relatively inexpensive and can handle a greater range of material than any other form of data storage and presentation. It also can be integrated with computer systems and used in the analysis of data as well as in its storage and presentation.

Appendix I: Archeological Surveys

As discussed in the preceding chapters, efforts to identify archeological sites and other properties containing important information about the past are normal parts of comprehensive historic resources surveys. Some special discussion of archeology is necessary, however, because archeological surveys require special methods and, more significantly, because they involve certain ways of looking at one's surroundings—and thinking about them—that may be relatively unfamiliar.

What is Archeology?

Archeology is a systematic, scientific attempt to reconstruct activities and social groups that have occurred or existed in the past, and to see how these have changed through time. The perspective of archeology is essentially that of history—that if we can account for the past, we can better understand the present and the future. Archeology, however, is strongly influenced by the social sciences, particularly anthropology. As a result, archeology's attempts to account for the past tend to be comparative and scientific: archeologists try to ask definite questions about the past, pose hypothetical answers, and test the validity of these answers by examining comparative data, often from many sites and areas.

Many archeological questions are of purely local or short-term interest. For example, archeology may be used to obtain information necessary for the accurate restoration of a building, to check the validity of a reported historic event, or to reconstruct the culture-history of a particular area. The questions asked in such studies, while they may be important in understanding the community's history, serve no large historical or social-scientific purpose, except to provide bodies of information that may eventually be combined with other data in large-scale anthropological or historical research. An increasingly large segment of modern archeological research is devoted to a search for answers to questions of major anthropological significance; for example, archeologists seek to understand the effects of environmental change and population pressure, the reasons for war, the bases for various forms of political organization, and the effects of change from one economic system to another. It is important to realize that these big questions often require many little answers from many little and big sites. Like any other science, archeology is less involved with spectacular discoveries than with testing modest hypotheses about rather humble phenomena. The accumulated results of such tests provide the basis for large scale research. Thus, no one should be surprised at the fact that archeologists often are more interested in small, simple,

ordinary, and seemingly redundant properties than in big, impressive monuments.

On the other hand, not everything that an archeologist might possibly study is worth studying. Some research questions that might be studied in a community may be trivial, and others may have already been effectively answered through other research, or be better studied using other resources, making it redundant to invest time and trouble in seeking to study them using the community's particular archeological resources. Since archeology can be expensive, communities should be careful in designing the archeological components of their surveys. The historic contexts to which archeological data may be relevant should be carefully defined, and decisions should be made about the research questions that are truly significant enough to pursue, before beginning fieldwork. The *Secretary of the Interior's Standards and Guidelines for Archeological Documentation and Treatment of Archeological Resources*, a publication of the Advisory Council on Historic Preservation (see Bibliography), provide guidance in how archeological resources may productively be approached.

Things that are of archeological importance may be very subtle, hard to see and record. Usually it is not artifacts themselves that are important but the locations of artifacts relative to one another. Deetz, Fagan, McHargue and Roberts, and Brace (see Bibliography) give good basic introductions to archeological field methods.

Many, perhaps most, archeologists in the United States specialize in *prehistoric* archeology, which in this country means the study of the archeological remains of American Indian societies as they existed before substantial contact with Europeans. The National Historic Preservation Act treats prehistory as a part of history for purposes of national policy, and it is treated as such in this publication—in other words, it is assumed that a comprehensive historic preservation program should be concerned with properties created during *prehistoric* time periods as well as with those created since literate observers arrived on the scene and *history* began in a technical sense.

At the same time, it is important not to consider archeology as only prehistory, and not to think that archeological data exist only under the ground. Archeologists are concerned not only with prehistory but also with even the most recent past. One group of archeologists, for example, has studied industrial water power systems from the 19th and 20th centuries in Troy, New York, and Paterson, New Jersey, while

another group has concentrated on the very recent past by studying the garbage of modern Tucson, Arizona, to seek understanding of changing economic conditions and how people cope with them (Rathje 1977). Many archeologists specialize in *historic archeology*—that is, the archeology of sites and structures dating from time periods since significant contact between American Indians and Europeans, and some specialize in *industrial archeology*—the study of sites and structures reflecting changing industrial processes and practices.

The kinds of archeological expertise needed by a particular community in its survey effort should become apparent during the initial definition of historic contexts. If it appears that the community may have been the scene of substantial prehistoric American Indian activity, specialists in prehistory should be consulted. If early industrial developments may be important, a specialist in industrial archeology should be sought out. If the processes of growth and development in the community since the time of contact between American Indians and Europeans may have left evidence in the ground or in buildings or structures that could be profitably studied by archeologists, a specialist in historical archeology should be contacted. The State Historic Preservation Officer and the National Park Service Regional Offices can be of assistance in defining the kinds of assistance needed, and such organizations as the Society for Historical Archeology, the Society for Industrial Archeology, and the Society of Professional Archeologists (see p. 19) may be helpful.

The Archeology of Buildings and Structures

To an archeologist, a building or structure is a complex artifact, created and used by people for activities that reflect their social, cultural, and economic needs and interests. The construction and organization of the building or structure, its modification through time, and the evidence of activities that occurred in it may all be important. For example, the way a house is constructed may reveal things about the builder's perceptions of how space should be organized. Modifications of the floor plan during the life of the house may reveal how occupants at different times wished to organize their life-space in response to changes in social conditions, population size, economic status, technology (e.g., the introduction of electricity), and so on. The things left in and around the house by its past occupants—furniture, papers, wallpaper, graffiti—may reveal facets of their daily lives, interests, preferences, and beliefs. Not only may the things themselves contain such information but their organization within the house may indicate things about the occupants' view of themselves and their world. The ways in which we organize and fill our living spaces can reveal a great deal about how we view ourselves and wish to be viewed by others. In industrial structures, such things as scars on the

floors left by belt-drive, marks left by the mounting of machinery, and patterns of grease or other stains reflecting drippage from pieces of equipment may provide evidence of vanished machinery and abandoned industrial techniques.

The Archeology of Sites

A site is less obvious than a building because it does not protrude above the ground. It may, of course, contain elements (including buildings and structures) that do protrude above the ground. It is important to remember that most historic structures and buildings are surrounded and underlain by historic archeological sites—the debris remaining from the decay or demolition of outbuildings, deposition of trash, and so on. These sites are often of value not only for general archeological research but for developing a detailed understanding of the buildings or structures that stand on them. Other sites, of course, are not associated with buildings or structures now standing. Their buildings or structures may have disappeared or been reduced to subsurface remnants (e.g., prehistoric village sites, many early historic structures), or they may never have been associated with buildings or structures (e.g., campsites, trails, battlefields, hunting stations).



Immediately under a modern elevated expressway, archeologists excavate the remains of the 19th century Henley Distillery in Boston, Massachusetts. (Linda Gifford, Public Archeology Laboratory, Brown University, and Massachusetts Department of Public Works)

Sites are often very hard to recognize, especially for untrained persons. Prehistoric sites are sometimes the most difficult to notice, because they do not contain familiar manufactured items. A prehistoric campsite, for example, may have nothing on the surface of the ground but a few flakes of stone resulting from the manufacture of spear-points, and a few cracked rocks from cooking fires. On the other hand, sites representing more recent historic periods may be hard to recognize precisely *because* the debris they contain is so familiar; such a site may be represented on the surface only by a scatter of bottle fragments or pieces of porcelain or brick, indistinguishable by the untrained eye from modern trash.

Some sites may be entirely buried making it important to understand the geology and recent depositional and construction history of the area being surveyed in order to predict where such buried sites might occur. Historical data may indicate that a particular area experienced recurrent flooding in the past that may have buried archeological sites, including the remains of early structures, under silt, or that an area had been subjected to purposeful landfill. Archeologists in port cities like New York and San Francisco have found whole ship hulls preserved under such landfill. On the other hand, historical data on an area's construction history may reveal that the construction of buildings with deep basements has penetrated the levels at which archeological sites might be expected to be buried, leaving little likelihood that such sites remain undisturbed.

The Archeology of Districts

Definition of an archeological district implies not only that sites, buildings, structures, or objects of archeological value are present but that there is some plausible connection or relationship among them. Archeologists often define as a district the area that was probably used by a social group in its daily activities. For example, a watershed containing a prehistoric village site and a number of campsites may be regarded as a district on the basis of archeological and/or ethnographic evidence that the whole area was used for hunting, gathering plant foods, or shifting agriculture, with the village and the campsites representing different types of activities engaged in by the same population. An area that was a recognizable ethnic neighborhood in the past—for example, a *Chinatown* or the location of a free Black community after the Civil War—may be defined as a district, as may an area of definable commercial or industrial activity such as a port area or a commercial street.

The Archeology of Objects

Archeologists are unaccustomed to thinking of the subjects of their inquiry as objects; because the subjects are almost always stationary, they are thought of as sites instead. Objects, some still movable such as

totem poles, may have archeological value in much the same way as do structures and buildings, in that they may contain evidence of the way life and activities were organized in the past. Prehistoric objects such as isolated rocks covered with petroglyphs (pecked or inscribed rock-art) or pictographs (painted art rockart) are of archeological value as indicators of religious or artistic activities and often as markers of trails, hunting areas, social boundaries, water holes, dangerous areas, and other aspects of the environment that must be studied to understand prehistoric relationships between social groups and the natural world. Such objects may also retain cultural and religious importance to groups of American Indian extraction in the community.

Selecting an Archeologist

Because of the subtlety, fragility, and complexity of the archeological record, it is vital that an archeological survey be professionally supervised and that surveyors be fully trained. In selecting an archeologist to supervise a survey it is important to recognize that not all professional archeologists are equal in their training or interests. For example, an archeologist who has specialized in studies of prehistory may be at a loss when confronted with the archeology of historic buildings, structures, or relatively recent sites. As noted above, the State Historic Preservation Officer, regional offices of the National Park Service, and relevant professional associations may be of aid in matching the community's needs with available archeological expertise. The community may also find it helpful to seek the advice of other communities that have obtained archeological services; the State Historic Preservation Officer and the National Alliance of Historic Preservation Commissions (see p. 19) should be able to identify such communities and provide information on contact people.

During the selection process, the supervisory archeologist should be made thoroughly familiar with the purposes of the survey and the historic contexts identified during survey planning to which archeological research may contribute.

Guidelines for the actual conduct of archeological surveys are included in Chapter II, and references to useful supplementary guidance are provided in the bibliography. The State Historic Preservation Officer should be consulted for guidelines specific to the State. Some States have State Archeologists, separate from the office of the State Historic Preservation Officer, who also should be contacted.

Appendix II:

Federal Legislation Affecting Historic Preservation

A large number of Federal laws affect historic preservation in various ways—by authorizing Federal support for preservation programs, by establishing such programs and defining their functions, by establishing procedures relevant to different kinds of preservation activities, and by creating particular opportunities for the preservation of different kinds of resources. This appendix briefly outlines the major pertinent legislation in existence as of 1985, with particular attention

to the statutes most directly pertinent to local historic preservation programs.

Since Federal law is constantly changing, communities interested in current information on applicable statutes should check with their State Historic Preservation Officer rather than relying on the following information to be comprehensive.

Statutes directly pertinent to local preservation programs

National Historic Preservation Act of 1966, as amended (Public Law 89-665) 16 U.S.C. 470-470w

This Act is the centerpiece of the national historic preservation program. As amended in 1980, it authorizes the Secretary of the Interior to expand and maintain the National Register of Historic Places, and establishes procedures for doing so; provides for gubernatorial appointment of State Historic Preservation Officers and specifies their duties; specifies how local governments are to be certified for participation in the program; authorizes grants-in-aid by the Secretary of the Interior to States and local governments for preservation purposes; sets forth responsibilities for Federal agencies in historic preservation; establishes the Advisory Council on Historic Preservation and specifies its responsibilities; and directs the Secretary of the Interior and the Advisory Council to conduct various studies and provide various types of guidance and regulations. Section 106 of the Act requires Federal agencies to consider the effects of their activities on historic properties, and to give the Advisory Council an opportunity to comment on such activities. Importantly for local communities, as amended in 1980, the Act also provides for the *certification* of local historic preservation programs for special participation in the activities authorized by the Act.

The full text of the Act with all amendments, in a convenient brochure form, can be obtained free of charge from the Advisory Council. Pertinent regulations implementing various portions of the Act include 36 CFR Part 60, dealing with National Register nominations and determinations of eligibility, 36 CFR Part 61, providing procedures for approved State and local government historic preservation programs, and 36 CFR Part 800, providing procedures for compliance with Section 106.

Federal Tax Law

Federal tax law supports historic preservation in two major ways. First, investment tax credits are provided for the substantial rehabilitation of historic commercial, industrial, and rental residential buildings, provided that both the historic significance of the building and the professional quality of the rehabilitation have been certified by the Secretary of the In-



The Railroad Exchange Building (The Santa Fe Building), Chicago, Illinois, has undergone a successful rehabilitation that is consistent with the Secretary of the Interior's Standards for Rehabilitation. The owners were able to take advantage of the tax incentives provided by the Economic Recovery Tax Act of 1981. (Courtesy of Santa Fe Railway)

terior. Second, the law permits income and estate tax deductions for the charitable donation of interest in historic properties, including certified historic structures and land areas (e.g., archeological and other historic sites).

The availability of investment tax credits for historic rehabilitation has been a major factor in engendering financial support for many local historic preservation programs, and has been important in defining survey priorities in many cases. Recent tax legislation supporting historic preservation has included the Tax Treatment Extension Act of 1980, Economic Recovery Tax Act of 1981, Tax Equity and Fiscal Responsibility Act of 1982, and Tax Reform Act of 1984. Changes to the tax laws occur frequently, and current information should be obtained from the State Historic Preservation Officer or the National Park Service when considering how Federal tax law may affect a particular program at a particular time.

National Environmental Policy Act of 1969 (Public Law 91-190) 42 U.S.C. 4321 et seq. (1970)

This legislation obligates Federal agencies to consider the environmental costs of their projects as part of the Federal planning process. It provides for the preparation and review of environmental assessments and impact statements during the planning of projects.

The Council on Environmental Quality promulgates regulations for implementation of this act; these are found at 40 CFR Part 1500 and subsequent sections of the Code of Federal Regulations.

Housing and Community Development Act of 1974, as amended (Public Law 93-333 as amended) 42 U.S.C. 5300 et seq.

Like the tax laws, the housing and community development laws change frequently, and since 1974, many provisions have been included that affect historic preservation. In 1974, the existing law was changed to combine a number of categorical grant

programs into a single program under which the Department of Housing and Urban Development (HUD) provides Community Development Block Grants (CDBG) to local governments, which have broad discretion in their use. CDBG funds can be used to support historic preservation activities, as well as activities that may damage historic properties. The 1974 act also authorized HUD support for programs of urban homesteading, which can provide the basis for rehabilitation of historic residential buildings. Subsequent amendments created such special grant programs as the Urban Development Action Grant (UDAG) and Housing Development Action Grant (HoDAG) programs.

Among the unusual features of the Housing and Community Development Act, as amended, are the fact that CDBG funds can be used as though they were non-Federal funds to match historic preservation grants from the Department of the Interior, and the fact that, for purposes of the CDBG, UDAG, and HoDAG programs, the local government that receives the grants, not the Department of Housing and Urban Development, is responsible for compliance with the National Environmental Policy Act and Section 106 of the National Historic Preservation Act. Special provisions dealing with historic preservation were included in amendments dealing with the UDAG and HoDAG programs, and have resulted in special regulations published by the Advisory Council on Historic Preservation at 36 CFR Part 801 (dealing with UDAG) and by HUD at 24 CFR Part 850 (HoDAG).

Participation in a local government's housing and community development program, including the provision of planning assistance in its compliance with the National Environmental Policy Act and Section 106 of the National Historic Preservation Act, is an important activity for many local preservation programs, which provides a context for the application of survey data to local planning.

Statutes that may provide special opportunities for local preservation programs

"Surplus Real Property Act," 1972 Amendment to the Federal Property and Administration Services Act of 1949 (Public Law 92-362) 40 U.S.C. 484(K)(3)

This act authorizes the General Services Administration to convey approved surplus Federal property to any State agency or municipality free of charge, provided that the property is used as a historic monument for the benefit of the public. To qualify for this provision, the structure must be included or eligible for inclusion in the National Register. This act is also applicable to revenue-producing properties if the income in excess of rehabilitation or maintenance costs is used for public historic preservation, park, or

recreation purposes and the proposed income-producing use of the structure is compatible with historic monument purposes, as approved by the Secretary of the Interior. The act includes recapture provisions under which the property would revert to the Federal government should it be used for purposes incompatible with the objective of preserving historic monuments.

Public Buildings Cooperative Use Act of 1976 (Public Law 94-541) 90 STAT. 2505, 40 U.S.C. 175

This act makes it national policy to acquire structures of historic or architectural significance for Federal office buildings, to encourage the public use of such

buildings by accommodating commercial, cultural, educational, and recreational uses of them both during and outside regular Federal working hours, and to provide the handicapped access to them.

AMTRAK Improvement Act of 1974 (Public Law 93-496) as amended by the Rail Transportation Improvement Act of 1976 (Public Law 94-555) 45 U.S.C. 501

These acts authorize the Department of Transportation and the National Endowment for the Arts to develop National Register listed railroad stations for use as inter-modal transportation centers, or civic or cultural centers, while preserving their historic integrity.

Emergency Home Purchase Assistance Act of 1974 (Public Law 93-449) 12 U.S.C. 1723e

This act authorizes Federal insurance for loans to finance the restoration or rehabilitation of residential structures listed in or eligible for the National Register.

The Department of Transportation Act of 1966 (Public Law 89-670) 23 U.S.C. 138

Among other things, this act directs the Secretary of Transportation not to approve any program or project that requires the use of land from a historic site of national, State, or local significance as determined by Federal, State, or local officials having jurisdiction thereof unless 1) there is no feasible and prudent alternative to the use of such land, and 2) such program includes all possible planning to minimize harm to such historic property. This means that the Federal

Highway Administration, the Federal Aviation Administration, the Urban Mass Transportation Administration, and the U.S. Coast Guard must give special consideration to the potential effect of their projects on historic resources whether or not the historic resource affected is in or determined to be eligible for the National Register.

Archeological and Historic Preservation Act of 1974 (Public Law 93-291) 16 U.S.C. 469a-c

This act provides for the recovery of archeological data that would otherwise be lost as the result of Federal construction or other federally licensed or assisted activities. It authorizes Federal agencies to recover such data when their activities will lead to its loss, and authorizes the Secretary of the Interior to conduct such recovery operations on behalf of other agencies and where such agencies do not do so themselves.

Archeological Resources Protection Act of 1979 (Public Law 96-95) 16 U.S.C. 470aa-11

This act prohibits the unauthorized disturbance of archeological resources on Federal and Indian lands, prescribes criminal penalties for such disturbance, and authorizes the establishment of regulations setting forth procedures for obtaining permits. Significantly for local preservation programs, it also prohibits interstate traffic in antiquities obtained illegally from any lands, public or private, providing a basis for prosecution in the Federal courts of parties who excavate archeological material in contravention of local statutes or trespass laws and move such material across State lines.

Federal authorities of secondary interest to local preservation programs

Antiquities Act of 1906 (Public Law 59-209) 16 U.S.C. 431-33 (1970)

This act authorizes the President to designate National Monuments and provides for the protection of historic and prehistoric ruins and objects of antiquity located on Federal lands.

Historic Sites Act of 1935 (Public Law 74-292) 16 U.S.C. 461-67 (1970)

This act gives the Secretary of the Interior the power to make historic surveys and to document, evaluate, acquire, and preserve archeological and historic sites across the country.

Executive Order 11593, Protection and Enhancement of the Cultural Environment, 16 U.S.C. 470 (Supp. 1, 1971)

This order directs Federal agencies to take leadership in preserving, restoring, and maintaining the historic

and cultural environment of the Nation. Federal agencies must survey, inventory, and nominate all historic resources under their jurisdiction or control (to the extent that the agency substantially exercises the attributes of ownership) to the National Register. Until these processes are completed, agency heads must exercise caution to assure that potential qualified Federal property is not inadvertently transferred, sold, demolished, or substantially altered. Many of the provisions of this order were incorporated into the National Historic Preservation Act by amendments in 1980.

Appendix III:

Legal and Financial Tools Used to Preserve and Enhance Historic Resources

As discussed in Chapter IV, a community's preservation efforts will be best served if it adopts a comprehensive historic preservation plan. Such a plan serves to guide both the community's preservation efforts per se—its survey, its program of evaluation and inventory, its programs to restore and rehabilitate historic properties and to provide for their study, archaeological salvage, and adaptive use, and its programs to encourage rehabilitation and reuse by the private sector—as well as its efforts to ensure that preservation concerns are addressed in development and land-use planning. The purpose of this appendix is to list and briefly discuss the legal and financial tools that can be incorporated into a preservation plan. It should be recognized that this list is by no means exhaustive, and that new and creative uses of financial and legal tools are being developed constantly.

Legal Tools

A wide variety of legal approaches to preservation can be tailored to meet the needs and goals of a particular community; however, any local ordinance must recognize State constitutional restrictions, common law requirements, and existing legislation dealing with preservation and related areas. The existence of State enabling legislation for historic preservation can provide a legal framework in which local governments can base their preservation programs, commissions, and zoning ordinances. A thorough investigation of State and local laws, with the assistance of legal experts, is essential in determining which legal mechanisms are best suited to fulfilling local preservation needs.

1. Community Historic Preservation Ordinances

Community historic preservation ordinances cover an entire city, county, or other political subdivision. They are often called *landmarks commission ordinances* because one of their major features is the establishment of a board of review, often called a landmarks commission, to oversee the community's preservation program and make judgements about the significance of resources. This terminology may be a little misleading, however, since it implies a concern only with *landmarks* rather than with the general historic, architectural, and cultural fabric of the community. Increasingly, more general terms like *historic preservation commission* are being used to describe the bodies that oversee local preservation programs.

Historic preservation commissions are generally responsible for designating significant individual resources or districts in accordance with criteria established by the ordinances under whose authority they operate. Such ordinances also often give them some measure of authority to control the alteration or demolition of designated properties, and sometimes to review the quality of new design in the vicinity of such properties, or within historic districts. Commissions sometimes are provided with staff which they oversee in carrying out the community's overall preservation program; in other cases, commissions are advisory to planning departments or other agencies of local government whose personnel carry out the day-to-day work of the program. The degree of authority granted to such commissions varies widely; in some cases, properties may not be designated as historic without the permission of their owners; in other cases, designation depends solely on the judgement of the commission. Some ordinances place great power in the hands of the commission to control alteration or demolition of designated resources, while others place none, and still others require that the views of the commission be taken into account in decisionmaking, but not necessarily heeded.

Local governments seeking certification to participate in the national historic preservation program under Section 101(c) of the National Historic Preservation Act must establish historic preservation commissions by ordinance, and give them responsibilities and authorities mirroring and coordinating with those of the State Historic Preservation Officer with respect to survey, nomination of properties to the National Register, preservation planning, grants administration, consultation with Federal, State, and local agencies to help them avoid damaging historic properties, and provision of education and information to the public (36 CFR Part 61.5[c][2]).

Guidelines for ordinance development can be found in *A Handbook on Historic Preservation Law* (see Bibliography), which also contains a model ordinance and sample ordinances, and can be obtained from the National Trust for Historic Preservation.

2. Historic District Ordinances

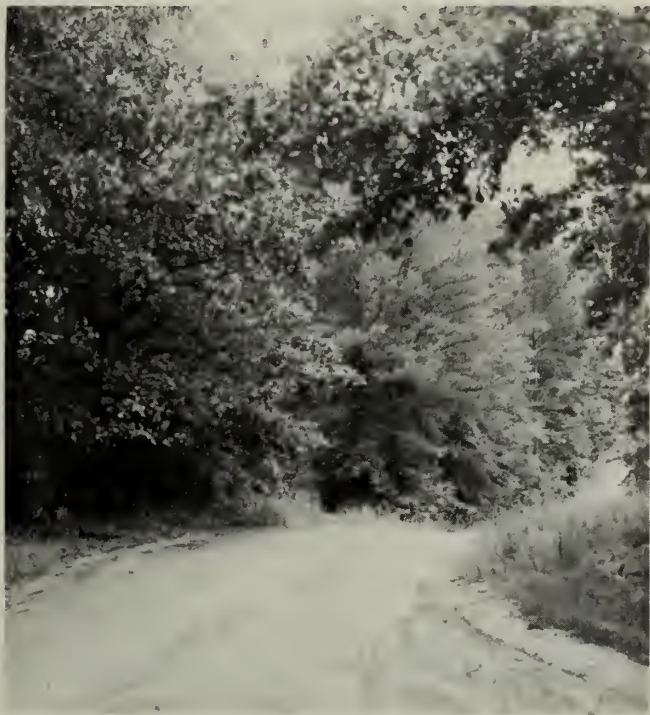
Historic district ordinances protect specific designated districts—commercial, industrial, rural, or residential areas—within a community. Such ordinances generally define specific boundaries, limit development or otherwise protect the district, and establish a review board or commission to oversee compliance with the

protective clauses. As is the case with community historic preservation commissions, the degree of authority granted to historic district commissions varies widely; they may act simply as advisory boards, reviewing and making recommendations on applications for building permits for proposed alterations, or the legislation may enable them to stay, grant, or deny demolition, alteration, and new construction. Generally, the ordinance also establishes procedures for appealing decisions of the historic district commission.

The discussion of ordinance creation in *A Handbook on Historic Preservation Law* will be useful for those considering creation of historic district ordinances, and sample district ordinances are available from the National Trust for Historic Preservation.

3. Zoning

It is particularly important that a community's historic preservation plan is coordinated with its zoning ordinance. If permissible under local and State law, it is advantageous to create an historic preservation classification within the local zoning ordinance. Alternatively, an ordinance could provide for the overlay of preservation review, with reference to architectural design or modification of existing structures, on the existing zoning of historic districts. The important thing to strive for is to minimize conflict between preservation and existing zoning. However urgently a community's historic preservation plan



The National Park Service has acquired scenic easements to protect the unique rural character of the Old Natchez Trace, Attala County, Mississippi, and to restrict undesirable commercial development. (Courtesy of National Park Service)

seeks to promote retention and rehabilitation of historic structures, if the underlying zoning permits conflicting uses that have the potential for higher economic return, in the long run preservation will lose out. Conversely, if preservation planning and zoning are coordinated, they can work together to promote the beneficial use of historic resources.

4. Easements

Easements are acquired interests in property owned by another. Since an easement is less than a total or fee interest in property, it may be a cheaper means of controlling use than outright purchase. Acquisition of an easement which precludes a property owner from making nonconforming alterations to the facade of his or her historic house, for example, is a common and often effective preservation tool. Preservation or conservation easements are of three general types.

a. *Open Space, Conservation, or Scenic Easements*—Open space, conservation, or scenic easements are a well recognized general form of land use control which has been used for many years in the United States to conserve undeveloped land areas. An example of the use of this type of easement is the National Park Service program to acquire scenic easements to restrict development and maintain the picturesque qualities of lands along the Blue Ridge and Natchez Trace Parkways. This type of easement has also been used to control the development of lands surrounding historic properties and to keep archeological sites safe from development of the lands in which they exist.

b. *Exterior or Facade Easements*—Exterior or facade easements restrict the development, use, or alteration of the exterior portions of a building or structure. Such easements are particularly useful where the architectural or visual quality of the exteriors of buildings is a major concern, for example, in historic districts where the ambiance of streetscapes is important.

c. *Interior Easements*—Interior easements can be written to prevent alteration of interiors of buildings or structures. They can apply to an entire building interior or to particular elements, for example, providing that the detailing in a particular room not be altered without permission, or prohibiting the removal of a staircase.

Potentially, easements have several advantages over other types of less-than-fee controls:

- They may be *assignable to other parties*—transferred from the original purchaser to another.
- They may *run with the land*—be binding on subsequent purchasers of the property affected.

- They may be acquired through gift or purchase. Donors of easements, and those who sell them for less than their appraised value, may be able to deduct the value of their donations from Federal and State income and estate taxes. In addition, the sale or donation of an easement may substantially reduce the fair market value of a property, thus allowing possible decreases in local property taxes and other Federal, State, and local taxes.

Implementing an easement program is not a simple operation. The legal instruments that convey easements must be carefully drawn up, and easements require conscientious policing by their holders to insure that the property owners are complying with them. The following preliminary steps are important:

- Investigation of relevant Federal and State laws and passage of enabling legislation, where necessary.
- Meticulous drafting of the legal instrument creating the easement, accompanied by adequate documentation describing the exact qualities or conditions of the property to be preserved.
- Careful identification of appropriate organizations to receive, hold, and police easements. Such organizations may be agencies of local government—for example, local preservation commissions or parks departments—or private organizations such as historical or archeological societies. Decisions about easement recipients should be explored with legal counsel, because in many jurisdictions, the protection afforded a property will depend on who holds the easement.

Legal counsel is vital in the development and administration of an easement program, because of the need for the documents conveying each easement to be sound and appropriate under Federal, State, and local law. The validity of the entire easement program will depend on its relationship to the existing framework of State property laws.

Despite its advantages, an easement program may not necessarily be the most effective tool for preservation nor the most financially expedient in the long run. Although purchase of an easement is often cheaper than acquiring the entire fee, in some cases, the value of the development rights of a property, for example, may constitute the major portion of a property's fair market value, so that the acquisition of an easement restricting these rights would be almost as expensive as purchasing the property itself and would require policing.

5. Covenants and Reverter Clauses

Covenants are contractual agreements between private parties that run with the land, thereby restricting uses that may be made of the property. *Reverter* clauses in deeds stipulate that unless certain conditions are followed, ownership of the property involved will return to the conveyor or to a designated third party.

Both may be used to maintain the historic integrity of a property. When properly drafted, they may also bind subsequent owners to abide by the conditions contained in them.

These legal tools may be useful in *purchase and resale* or *leaseback* arrangements where properties have been acquired and will be later disposed of subject to the conditions of covenants. They may be useful in situations where property has been acquired through eminent domain and will be later disposed of subject to the condition of a covenant.

An advantage in using covenants is that specific provisions for penalties or other remedies may be included in them to come into effect if the terms of the agreement are broken.

Reverter clauses lack this flexibility, providing only for reversion of title to the conveyor or the conveyor's designee in event of a breach of the conditions agreed to. Their use could be an inappropriate means of attempting to enforce compliance with preservation goals where reversion of ownership would be a financial burden to the original seller, for example.

It should be noted that unless covenants or reverter clauses are very carefully drafted and contain the precise legal elements appropriate in the jurisdiction in which they are to apply, they may not *run with the land*, i.e., be binding on subsequent purchasers. In addition, they may be difficult to enforce over a long period of time, particularly if conditions present at the time of the agreement have changed.

6. Transfer of Development Rights

By permitting a property owner to sell the air rights over his or her property to another, a community can create the basis for compensating an owner who is not permitted to develop a parcel to what would ordinarily be its maximum potential. A local ordinance permitting transfer of development rights can make it possible, for example, for the local government or a preservation organization to exchange the right to develop a nonhistoric parcel for the air rights over an historic building, where otherwise a high-rise building could be constructed if the historic structure is demolished. Appraising the value of air rights when a sale or exchange is proposed may be complicated, but providing the opportunity for such transfers in the design of local ordinances can make a useful tool available for preservation in many circumstances.

7. Tax Advantages

Federal tax law at present encourages preservation and rehabilitation of historic properties by allowing corporate and individual taxpayers to deduct the value of the donation of conservation easements from their income taxes and by providing investment tax credits (ITCs) to taxpayers who carry out certified

rehabilitation projects on income-producing certified historic buildings. Many communities have found that the Federal tax laws provide a powerful tool for local preservation, both to encourage rehabilitation in particular parts of the community and to help build partnerships with developers and property owners who might otherwise be hostile to, or at least unresponsive to, preservation concerns.

Because of the fluid nature of Federal tax law, communities should be sure to have the most up-to-date available information on Federal tax incentives before relying heavily on them to help build a local program. The State Historic Preservation Officer and the regional offices of the National Park Service can provide current information.

It should also be recognized that over-reliance on Federal tax incentives can lead to some distortion in a local preservation program's priorities. The fact that Federal ITCs are available only for the rehabilitation of income-producing property has caused some communities to concentrate their attention on commercial areas and on historic contexts relevant to commercial buildings at the expense of other aspects of the community and its heritage. Care should be taken to avoid ignoring other important preservation problems and opportunities in the face of enthusiasm over the tax advantages of rehabilitating income-producing properties.

State and local tax laws have traditionally worked to discourage the preservation and rehabilitation of historic and cultural properties. This is rapidly changing in many parts of the Nation, but in formulating preservation plans, communities should carefully study the local and State tax codes to identify potentially useful amendments. Listed below are tax incentives which can work to encourage preservation:

- Tax credits or deductions on State income or property taxes for rehabilitation and maintenance of historic properties or for donations of easements for preservation purposes.
- Tax credits or deductions on local property taxes.
- Abatement or partial abatement of property taxes, i.e., partial or complete exemptions on qualified properties.
- Alternate methods of valuation, i.e., assessment of property value on the basis of existing use or other than fair market value.

Alternate valuation of historic and cultural properties can help to alleviate the development pressures on historic properties and other *undeveloped* areas caused by their assessment at fair market value. Where a property has substantial development potential, its fair market value is often much greater than the value of the property at its existing use. If a basis other than fair market value can be established for

valuation, the pressure created by taxation to convert the property to its *highest and best use* can be alleviated.

Effective use of alternate methods of valuation requires accurate means of assessing the value of historic resources. These means must be developed carefully to insure fairness and objectivity.

Tax incentives for preservation need not always be applied on a community-wide basis, or in perpetuity. For example, it may be appropriate to target a particular area containing a concentration of historic buildings in need of rehabilitation, and reduce the assessed valuation of or provide tax credits to rehabilitated buildings in the area for a specific period of time. The time period established and the amount of the reduction or credit should be sufficient to stimulate significant investment in the area; at the same time, care must be taken to ensure that the incentive program is fair and does not work to the detriment of other parts of the community.

Development of State and local programs for tax credits, deductions, or abatement should include consideration of the following factors:

- Criteria for the recognition of properties eligible for tax credits, deductions, or abatement, such as National Register listing or inclusion in the community inventory.
- Definitions of activities for which credit or deductions would be allowed (kinds of rehabilitation, maintenance, etc.).
- Amount of credit or deduction allowed per property, per activity, or per period of time.
- Length of time for amortization of allowable expenses.
- Relationship between State and local tax benefit programs, and between these programs and the Federal program.

8. State and Local Environmental Laws

Many States have adopted laws designed to ensure that both the natural and cultural environments are considered in government decisionmaking; these can provide an important basis for the integration of historic preservation into local planning. Such laws are usually modelled on the National Environmental Policy Act (NEPA) and are referred to as State Environmental Policy Acts or SEPAs in the legal literature. SEPAs typically require the preparation of an environmental impact report or statement whenever a State or local government agency proposes an action that might affect the environment—for example, approval of a subdivision, issuance of a major grading permit, provision of financial assistance to a development, or undertaking capital construction. The environmental impact document involves identifying

those aspects of the environment that may be affected, projecting the effects, and analyzing alternatives. It is then up to the government decision-maker—the State agency, the city council, the planning board—to use the environmental document in deciding whether to proceed with the action and if so, whether to adopt conditions on the action to mitigate its effects on the environment.

Virtually every SEPA includes historic properties in its definition of the environment that it seeks to protect, so SEPAs can provide a powerful tool for use by local governments and preservation organizations to ensure that preservation is considered in planning. What is often a problem in making SEPAs work for preservation is ensuring that historic properties and preservation issues are actually identified in the environmental impact document. Here, of course, the availability of survey data can be very important. On the other hand, if a preservation agency or organization has a good working relationship with the local decision-makers who require and review environmental documents under a SEPA, it can work to ensure that studies undertaken to prepare the environmental documents do identify historic properties and do so in a manner that contributes to the survey data base. Once accurate information on historic properties and preservation issues has been presented in an environmental document, the next problem is to encourage the relevant decisionmakers to consider preservation alternatives in a positive light. Such consideration will be most likely if the community has a comprehensive historic preservation plan in place, providing access to some or all of the preservation tools discussed in this appendix.

Where a SEPA exists, community preservation agencies and organizations will find it useful to become familiar with its terms and how they are interpreted by local and State decisionmakers. It should then be possible to incorporate the use of the review process prescribed by the SEPA into the community's historic preservation plan. Local ordinances can also be developed to build on the provisions of the SEPA. If no SEPA exists, the community might consider adopting a similar law itself. The *Handbook on Historic Preservation Law* (see Bibliography) provides a useful discussion of SEPAs and their uses, with references to the rapidly growing literature on the topic that will be helpful to those designing or using such laws.

9. Social Impact Ordinances

In order to minimize conflict between development and other community interests, and to maximize citizen participation in decisionmaking, some communities have adopted ordinances providing for analysis of the social impacts of proposed actions, and for organized participation by affected social groups in decisions about development and land use. Often these ordinances provide for negotiation between af-

ected groups and development interests or government agencies, or for mediation of disputes. The City of Honolulu, for example, adopted an ordinance in 1981 that required the preparation of social impact analyses in advance of development projects, in consultation with affected neighborhood groups and other interests, and the conduct of meetings with all concerned parties to resolve conflicts (see Bibliography). Social impact analysis and negotiation to resolve environmental disputes are being used increasingly at State and Federal government levels as well, both in the United States and in other nations (see Baldwin, Kent, *Social Impact Assessment*, Susskind and Weinstein, and Talbot in Bibliography).

Because neighborhood concerns about development and land use changes often focus on perceived injury to neighborhood character, cultural values, and property value, they often are closely related to, or incorporate, historic preservation interests. A community's preservation agency or organization can benefit from exploring ways to ensure that preservation interests and alternatives are fully considered in social impact analysis and the negotiation of solutions to conflicts between development and neighborhood concerns.

10. Regulating Consultant Quality

Environmental documents prepared under SEPAs, under the National Historic Preservation Act, and with reference to the National Historic Preservation Act are usually done by or with the aid of professional consultants. A community can help ensure that preservation issues will be properly considered in its own planning and in that carried out by State and local agencies if it finds ways to regulate the quality of the consultants who prepare such documents.

At a minimum, consultants who prepare the historic preservation elements of environmental documents should be required to meet the professional qualifications standards in the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*, and should have a demonstrated record of doing good historic preservation work of the type for which a consultant is needed. For archeologists, a community may wish to consider requiring certification by the Society of Professional Archeologists (SOPA). SOPA reviews the qualifications of archeologists and certifies them in various specialties, also requiring them to abide by a code of ethics and professional standards equivalent to, but more detailed than, the relevant parts of the *Secretary of the Interior's Standard and Guidelines*.

Agencies and organizations interested in regulating the quality of consultants should discuss options carefully with legal counsel. There are strong legal strictures on requiring consultants to be members of particular organizations, but in most jurisdictions it is legal to

require that an individual's professional qualifications be certified by an organization of peers. Alternatively, formal licensing by the local government might be considered.

Financial Tools

1. Revolving Funds

Revolving funds are designed to provide a preservation organization with the financial capacity to buy, sell, and maintain property without large sources of long-term financing. They have proven to be effective preservation techniques in a wide range of situations. As the name implies, funds in a revolving fund *revolve*; they are invested in a property, recovered—ideally at a profit, and invested in another. Organizations with preservation revolving funds can respond quickly to emergencies by purchasing endangered sites or buildings directly rather than looking for a sympathetic buyer or trying to raise funds for special purchase. By buying endangered properties, the organization buys time. Buildings and structures may be rehabilitated, easements may be placed on them, and they may be resold or leased to parties who will maintain them. Alternatively, properties can be transferred and rehabilitated by the new owner according to agreements accompanying the sale. Archeological sites may be sold with covenants restricting excavation or permitting only certain kinds of land use, or might be subjected to a program of research excavation and then sold without restrictions once their important data have been extracted. When the properties are sold, the money returns to the revolving fund and can be used again to save other properties.

Use of revolving fund techniques places the community or preservation organization in the real estate market. As the organization begins to buy and sell property, local business people begin to take note, and if the program is successful they can develop respect for preservation as a new economic force in the community. Properties bought and sold gain in value as they are rehabilitated, and the rehabilitation itself generates other economic activity. When several properties in an area have been bought and rehabilitated, the area is likely to become more attractive to private investors. Bank loans may be more easily obtained, and other property owners in the area may begin to rehabilitate their property. The net value is increased property values and an increased tax base for the community—proof that historic preservation can be good business.

The problems involved in establishing and operating a revolving fund are to obtain the money to make the initial purchases, to turn these around quickly enough to generate momentum rather than allowing the fund to *stall* with its first few projects, and to operate the fund in a businesslike manner. Some communities use Community Development Block Grants to establish

revolving funds, while others have obtained initial funding through community-based fundraising efforts, local appropriations, grants from private foundations, and bequests. Revolving funds may also be established on a statewide basis. The advantage of State revolving funds is that they have a broader base of support.

For additional information on revolving funds see *Revolving Funds for Historic Preservation*, by Arthur Ziegler, Leopold Adler, and Walter Kidney (see Bibliography).

2. Grants

Community Development Block Grants and certain Federal categorical grants available through the U.S. Department of Housing and Urban Development are popular sources of funding for preservation activities. Block grants have few limitations that apply to their use, and can be applied to survey, operation of a general historic preservation program, establishment of revolving funds, direct rehabilitation projects, and a wide variety of other preservation functions. Categorical grants are typically more limited in their application.

The State Historic Preservation Officer may be a source of grant funds from the Historic Preservation Fund managed by the National Park Service. The National Historic Preservation Act provides for the pass-through of Historic Preservation Fund money to local governments whose preservation programs have been certified by the State Historic Preservation Officer and the Secretary of the Interior; these funds can then be used at the local government's discretion for historic preservation purposes, within guidelines established by the National Park Service. The basic procedures to be followed by certified local governments are published in the Code of Federal Regulations at 36 CFR Part 61. The State Historic Preservation Officer can also provide matching grants from the Historic Preservation Fund for particular preservation activities, including those carried out by local governments that have not been certified in accordance with 36 CFR Part 61, and often administers grant programs established by the State as well.

State Arts and Humanities Councils and folklife programs are possible sources of funding for particular preservation-related projects, and may be able to offer advice about other sources. Other State funding opportunities are likely to be available from time to time, often in connection with economic development programs; it is wise to maintain contact with State legislators to keep track of potentially useful legislation.

Grants may also be available from such Federal agencies as the National Endowment for the Arts, the National Endowment for the Humanities, and various

agencies of the Departments of Housing and Urban Development, Agriculture, Commerce, and Transportation, for particular project and program activities. The availability of grants for particular purposes changes from year to year as Congress approves new programs and allows others to expire or remain in existence without appropriations. The State Historic Preservation Officer should be consulted for current information.

Private sources of grant funds can also be important. The National Trust for Historic Preservation maintains a variety of grant programs, and should be contacted directly to determine what is currently available. A wide range of private foundations offer support for activities related to preservation, ranging from research to restoration, and some local philanthropic organizations specialize in supporting worthwhile projects in particular communities. The local library or university grants office is a good place to consult directories of foundations and other potential private sources of grant support.

3. Contracts

Some local preservation programs contract with Federal, State, and local agencies, private developers, and regulated industries to carry out the surveys, evaluations, and other studies that may be required of them under the National Historic Preservation Act, the National Environmental Policy Act, or relevant SEPA's. This has several advantages; it ensures that the work done on such studies is consistent with the standards and policies of the local preservation program, builds up the survey data base, can usually be done efficiently, and helps support the local program by covering overhead costs. The practice can lead to real or perceived conflicts of interest if the local program is also involved in review of the undertakings on which it does studies. Care should be taken, and the advice of legal counsel sought, in establishing any such contracting operation.

4. Syndication

Syndication is an increasingly popular way of financing rehabilitation projects; it involves bringing together investors and preservation interests into legally constituted syndicates for the purpose of carrying out a project or projects from which all will theoretically benefit. Several large private firms now specialize in syndication; the State Historic Preserva-

tion Office may have information on such specialists, and may be able to advise about the applicability of syndication to a particular project.

5. Development Bonuses

A community can encourage rehabilitation of historic buildings or preservation of historic open space by providing development bonuses. For example, a corporation that agrees to rehabilitate certain historic buildings as part of a development in an historic district might be given an increase density allowance for another part of the development. Such arrangements typically involve zoning variances and are one good reason for close coordination between historic preservation planning and zoning.

6. Land Cost Subsidies

A community can provide a strong incentive to rehabilitation by purchasing historic properties and then selling them to developers at a reduced price. Particularly in large cities with a high level of economic activity, land prices are often among the biggest expense items faced by a developer, and may be a major factor in making rehabilitation less cost-effective than demolition and construction of a larger, taller building with greater marketable floor space. By reducing the cost of the land through a partial subsidy, the community can reduce, or even reverse, the differential between rehabilitation and new construction.

7. Reduction in Interest Rates

Another way to encourage the private rehabilitation of historic buildings is to reduce the interest rates on construction loans or mortgages. Some local governments use Community Development Block Grants or other grant funds to provide developers with low-interest loans, while others use their revenue bond powers to raise the necessary capital.

The use of such techniques as syndication, reduction in interest rates, and land cost subsidies requires a high level of cooperation among preservationists, local government, funding sources, and the development community. An effective community historic preservation plan should be developed in consultation with such interests so that these and other innovative approaches to financing historic preservation activities can be fully explored.

Appendix IV: Bibliography

Communities may wish to consult the following publications for further information on the identification, evaluation, and protection of historic resources. These publications are a sampling of the information that is currently available and are not meant to comprise an exhaustive list. For an encyclopedic treatment of available sources on virtually every aspect of historic preservation, see the National Trust for Historic Preservation's *All About Old Buildings: the Whole Preservation Catalogue* (Washington, DC, The Preservation Press, 1985).

In the discussion below, publications are listed under six headings:

1. Survey and Planning Methodology
2. Examples of Preservation Plans
3. Preservation Tools and Strategies
4. Legal Reference Material
5. Examples of Survey Publications
6. General Reference

The section on survey and planning methodology is divided into **essential readings**, which provide basic guidelines and should be consulted by anyone planning a survey, and **specialized readings**, which treat particular survey-related activities or are otherwise more specialized. Each of these divisions is further subdivided as appropriate into **National Park Service publications**, **State Historic Preservation Officer publications**, **Advisory Council on Historic Preservation publications**, and **Publications of others**.

1. Survey and Planning Methodology

Essential Readings

National Park Service publications. The following publications are available, usually free of charge, from the National Park Service. For information contact the Regional Director in your National Park Service Regional Office, or write: Associate Director, Cultural Resources, and Keeper, National Register of Historic Places, National Park Service, P.O. Box 37127, Washington, DC 20013-7127.

Secretary of the Interior's Standards and Guidelines for Preservation Planning, Identification, Evaluation, and Registration. Federal Register, Thursday, September 29, 1983, pp. 44716—28 (48 FR 44716-28). Available bound with other standards and guidelines as the *Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation.*

Resource Protection Planning Process. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, 1980.

Resource Protection Planning Process Case Studies. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, n.d.

Guidelines for Completing National Register of Historic Places Forms. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, n.d. National Register Bulletin No. 16.

State Survey Forms.

Approaches to Preserving a City's Past. Alexandria, VA: Alexandria Urban Archeology Program, 1983.

State Historic Preservation Officer publications. The following documents, either in published form or as drafts or compilations of documents, should be available from the State Historic Preservation Officer of the State applicable to a community planning a survey. The titles given below are generic.

Comprehensive State Historic Preservation Plan.

Guidelines and standards applicable to the Comprehensive Statewide Historic Properties Survey.

Advisory Council publications. The following publications are available free of charge from the Advisory Council on Historic Preservation, 1100 Pennsylvania Avenue, NW, Washington, DC 20004.

"Guidelines for the Identification of Historic Properties," *Section 106 Update/3: Manual of Mitigation Measures (MOMM)*, Appendix C. Washington, DC: Advisory Council on Historic Preservation, October 1982.

"Preservation Planning in Context." Washington, DC: Advisory Council on Historic Preservation, 1985.

Specialized Readings

National Park Service publications (for availability, see above).

The Archeological Survey: Methods and Uses by Thomas F. King. Washington, DC: U.S. Government Printing Office, 1978. Stock No. 024-016-00091.

Archeology of Black American Culture: An Annotated Bibliography, by Bert Salwen and Geoffrey Gyrisco. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Archeological Services, n.d.

Cultural Resources in Massachusetts: A Model for Management. Washington, DC: U.S. Department of

the Interior, National Park Service, Interagency Resources Division, Preservation Planning Series, August 1979.

How to Establish Boundaries for National Register Properties, by Bruce MacDougal. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, n.d. National Register Bulletin No. 21.

How to Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years, by Marcella Sherfy and W. Ray Luce. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, Summer 1979. National Register Bulletin No. 22.

How to Improve the Quality of Photographs for National Register Nominations, by Walter Smalling and Robert Haynes. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, Fall 1979. National Register Bulletin No. 23.

Guidelines for Counting Contributing and Non-contributing Resources for National Register Documentation. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, May 1985. National Register Bulletin No. 14.

Historic Preservation Certifications Pursuant to the Tax Reform Act of 1976; The Revenue Act of 1978; The Tax Treatment Extension Act of 1980; and The Economic Recovery Tax Act of 1981. Codified as 36 CFR Part 67.

National Register of Historic Places: Criteria for Statewide Historic Surveys and Plans. 36 CFR Part 60.

The Importance of Small, Surface and Disturbed Sites as Resources of Significant Archeological Data, by Valerie Talmage and Olga Chesler. Springfield, VA: National Technical Information Service, 1977. NTIS Publication No. PB 270930/AS.

Remote Sensing: A Handbook for Archeologists and Cultural Resource Managers, by Lyons, T.R. and T.E. Avery. Washington, D.C.: U.S. Department of the Interior, National Park Service, Cultural Resource Management Division, 1977.

Archeomagnetism: A Handbook for the Archeologist, by Jeffrey L. Eighmy. Washington, DC: U.S. Department of the Interior, National Park Service, 1980.

Cultural Landscapes: Rural Historic Districts in the National Park System, by Robert Z. Melnick, Daniel Spohn, and Emma Jane Saxe. Washington, DC: U.S. Department of the Interior, National Park Service, Park Historic Management Division, 1984. (Note: This publication does not deal only with the National

Park system, but also provides comprehensive guidelines for identifying and evaluating rural historic districts.)

Using the UTM Grid System to Record Historic Sites, by Wilford P. Cole. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, Preservation Planning Series, 1980.

National Register of Historic Places Bulletins: periodically issued practical guides to aspects of the nomination process.

Advisory Council publications (for availability, see above).

"Guidelines for the Consideration of Traditional Cultural Values in Historic Preservation Review." Washington, DC: Advisory Council on Historic Preservation, 1985.

"Recommended Format Guidelines for Archeological Survey Reports." Washington, DC: Advisory Council on Historic Preservation, 1985.

Publications of others.

Adams, K. *Investing in Volunteers: A Guide to Effective Volunteer Management*. Washington, DC: The Preservation Press, 1985.

American Folklife Center. *The Process of Field Research: Final Report on the Blue Ridge Parkway Folklife Project*. Washington, DC: Library of Congress, 1981.

Bartis, P.T. *Folklife and Fieldwork: A Layman's Introduction to Field Techniques*. Washington, DC: American Folklife Center, 1979.

Blumenson, J.J.G. *Identifying American Architecture: a Pictorial Guide to Styles and Terms, 1600-1945*. Nashville, TN: American Association for State and Local History, 1981.

Brace, P. *Archeological Resources and Land Development: A Guide to Assess Impact*. Washington, DC: American Society of Landscape Architects, Landscape Architecture Technical Information Series 7, 1984.

Bureau of Land Management. *Visual Resource Management Program*. Washington, DC: U.S. Department of the Interior, Bureau of Land Management, n.d.

Bureau of Land Management, Social Effects Project. *Guide to Social Impact Assessment*. Washington, DC: U.S. Department of the Interior, Bureau of Land Management, 1982.

Cerny, J.W. "Scenic Analysis Assessment." *Critical Reviews in Environmental Control*, 4:2, June 1974.

Clay, G. *Close-Up: How to Read the American City*. Chicago: University of Chicago Press, 1980.

Collier, John, Jr. *Visual Anthropology: Photography as a Research Method*. New York: Holt, Rinehart & Winston, 1967.

Dunaway, D.K. and W.K. Baum (eds.). *Oral History: An Interdisciplinary Anthology*. Nashville, TN: American Association for State and Local History, 1984.

Georgia Department of Natural Resources, Historic Preservation Section. *Historic Preservation Handbook*. Atlanta: Georgia Department of Natural Resources, 1976.

Getzels, J. and C. Thurow (eds.). *Rural and Small Town Planning*. Chicago: American Planning Association, 1980.

Harris, C.M. *Historic Architecture Sourcebook*. New York: McGraw-Hill, 1977.

Ives, E.D. *The Tape-Recorded Interview: A Manual for Field Workers in Folklore and Oral History*. Knoxville: University of Tennessee Press, 1980.

Jacobs, A.B. *Making City Planning Work*. Chicago: American Planning Association, 1978.

Jackson, D.C., and T.A. Comp. *Truss Bridge Types: A Guide to Dating and Identifying*. Nashville, TN: American Association for State and Local History Technical Leaflet No. 95, 1977.

Jolly, B. *Videotaping Local History*. Nashville, TN: American Association for State and Local History, 1982.

Kidder Smith, G.E. *Architecture of the United States*. New York: Doubleday, 1981.

King, T.F., P.P. Hickman, and G. Berg. *Anthropology in Historic Preservation: Caring for Culture's Clutter*. New York: Academic Press, 1977.

Kyvig, D.E., and M.A. Marty. *Nearby History: Exploring the Past Around You*. Nashville, TN: American Association for State and Local History, 1982.

Library of Congress. *National Union Catalogue of Manuscript Collections*. Washington, DC: Library of Congress, 1959-84.

Liljeblad, S., and C. M. Brown. *A Guide to Historic Preservation Research and Preservation Planning in Alaska*. Anchorage: Office of History and Archeology, Alaska Division of Parks, 1976.

Lynch, K. *The Image of the City*. Cambridge: MIT Press, 1960.

_____. *What Time is this Place?* Cambridge: MIT Press, 1972.

MacFarlane, A. *Reconstructing Historical Communities*. Cambridge: Cambridge University Press, 1977.

Massachusetts Historical Commission. *Archeology and Public Planning*. Boston: Massachusetts Historical Commission, 1976.

_____. *Historic Properties Survey Manual*. Boston: Massachusetts Historical Commission, n.d.

Massey, James C. *How to Organize an Architectural Survey*, rev. ed. Washington, DC: National Trust for Historic Preservation, 1971.

Mayer-Oakes, W.J., and A.W. Portnoy (eds.). *Scholars as Contractors*. Washington, DC: U.S. Government Printing Office, Stock No. 024-016-00107-9, 1979.

McAlester, V. and L. *A Field Guide to American Houses*. New York: Alfred A. Knopf, 1984.

McKee, Harley J. *Recording Historic Buildings*. Washington, DC: U.S. Government Printing Office, 1970.

Morgan, W.N. *Prehistoric Architecture in the Eastern United States*. Cambridge: MIT Press, 1980.

Mueller, J.W. (ed.) *Sampling in Archeology*. Tucson: University of Arizona Press, 1975.

Murtagh, W.J. "The Meaningful Assessment of the Built Environment." *Architectural Preservation Forum*, December 1979.

Murtagh, W. J., and G.C. Argan. *Historic Districts: Identification, Social Aspects and Preservation*. Washington, DC: National Trust for Historic Preservation, 1975.

National Historical Publications and Records Commission. *Directory of Archives and Manuscript Repositories*. Washington, DC: National Historical Publications and Records Commission, 1978.

National Research Council, Environmental Studies Board. *Assessing Cultural Attributes in Planning Water Resources Projects: Report of the Panel on Cultural Attributes in Water Resources Projects*. Washington, DC: National Research Council, 1982.

National Trust for Historic Preservation. *A Guide to the Preservation Survey*. Washington, DC: National Trust for Historic Preservation, 1975.

Nevada Division of Historic Preservation and Archeology. *Procedures Manual for Compiling a State-wide Inventory of Cultural Resources*. Carson City: Nevada Department of Conservation and Natural Resources, 1978.

New York State Parks and Recreation, State Board for Historic Preservation. *Historic Resources Survey Manual*, rev. ed. Albany: New York State Parks and Recreation, 1974.

Poppeliers, J., S.A. Chambers and N.B. Schwartz. *What Style Is It?* Washington, DC: The Preservation Press, 1977.

Rudofsky, B. *Streets for People: A Primer for Americans*. Garden City, NY: Doubleday, 1969.

Society for American Archeology. "Guidelines for the Preparation and Evaluation of Archeological Reports," Chapter 3, *The Management of Archeological Resources: The Airlie House Report*. Washington, DC: Society for American Archeology, 1977.

Society for California Archeology. *Recommended Procedures for Archeological Impact Evaluation*. San Francisco: Society for California Archeology, 1973; reissued, 1980.

Society of Professional Archeologists. "Standards of Professional Performance," *Directory of Certified Professional Archeologists*. Lincoln, NE: Society of Professional Archeologists, 1985.

South Dakota Office of Cultural Preservation. *Historic Sites Survey Handbook*. Vermillion, SD: Office of Cultural Preservation, 1973.

State Historical Society of Colorado. *Guidelines—History and Archeology*. Denver: State Historical Society of Colorado, n.d.

_____. *So—You Have a Nomination to the National Register*. Denver: State Historical Society of Colorado, 1973.

State Historical Society of Wisconsin. *Survey Manual*. Madison: State Historical Society of Wisconsin, 1975.

Texas Historical Commission. *Resource Planning Process for Texas*. Austin: Texas Historical Commission, 1981.

Townsend, Frederick E. "A Selected and Annotated Bibliography on the Remote Sensing of Historical and

Archeological Sites." *Historic Preservation and the Cultural Landscape: An Emergency Land Use Planning Concern*. Ed. and comp. by William H. Tishler and Randy Garber. Madison: Department of Landscape Architecture/Environmental Awareness Center, University of Wisconsin, 1976.

U.S. Geological Survey. *Guide to Obtaining USGS Information*. Circular 900, Washington, DC: U.S. Department of the Interior, U.S. Geological Survey, 1985.

Weinstein, Robert A. and Larry Booth. *Collection, Use and Care of Historical Photographs*. Nashville, TN: American Association for State and Local History, 1977.

Weitzman, D. *Traces of the Past: A Field Guide to the History on Your Doorstep*. New York: Scribner's, 1980.

Wells, C. (ed.) *Perspectives in Vernacular Architecture*. Annapolis, MD: Vernacular Architecture Forum, 1982.

Whiffen, M. *American Architecture Since 1780: A Guide to the Styles*. Cambridge: MIT Press, 1981.

Whiffen, M., and F. Koeper. *American Architecture 1607—1976*. Cambridge: MIT Press, 1981.

Whyte, W.H., Jr. *The Social Life of Small Urban Spaces*. Washington, DC: The Conservation Foundation, 1980.

Wigginton, E. (ed.) *The Foxfire Book*. Garden City, NY: Doubleday, 1972 (subsequent volumes published semiannually-annually).

Wright, Russell. *A Guide to Delineating Edges of Historic Districts*. Washington, DC: National Trust for Historic Preservation, 1976.

2. Examples of Preservation Plans

Since preservation plans are not always published, it is often not easy for those outside the community or State to which they apply to review them. Copies of some State Historic Preservation Plans can be obtained from the National Park Service, by inquiring of the Regional Director serving your area. To determine the availability of the preservation plans discussed below, it is suggested that the relevant State Historic Preservation Officer be contacted. State Historic Preservation Officer addresses can be found in Appendix V.

Since preservation plans often have multiple authors or compilers, or do not list authors as such, the following plans are listed in alphabetical order by title.

An Archaeological Preservation Plan for Charleston, South Carolina, by M. Zierden and J. Calhoun. (Charleston, SC: Charleston Museum Archaeological Contributions No. 8, 1984).

Based on extensive archival research and study of the results of archeological excavations carried out in advance of construction projects in various parts of the city, this study identifies the general locations in which different kinds of historic archeological resources (remains of fortifications, antebellum planters' homes, commercial establishments, piers, slave and free Black residences, etc.) are likely to be found underground, and indicates them on maps. It goes on to outline a series of research questions to guide archeological research in the city. Recommendations for

linking archeological studies with planning are relatively weak, but the volume is a good example of the mobilization of archival and archeological data to indicate where development planning should exercise caution to avoid damage to archeological resources.

Austin Historic Preservation Plan. Charles Hall Page and Associates, Inc. (San Francisco: Charles Hall Page and Associates, 1981).

An example of a plan, prepared on the basis of relatively little survey data, that provides a basis for further survey and inventory work. The plan focuses solely on architecture, without discussion of archeological resources. It provides an overview of the city's history, and goes on to discuss such preservation tools as the use of building codes, tax incentives, and zoning. It proposes the establishment of a city-wide inventory program, and offers implementation recommendations. Appendices are provided on local architectural styles, standards for granting certificates of appropriateness, and rehabilitation guidelines.

The Cache River Archeological Project: An Experiment in Contract Archeology. M.B. Schiffer and J.H. House, assemblers (Fayetteville, AR: Arkansas Archeological Survey Research Series No. 8, 1975).

A classic study involving the use of archival research and controlled sample field survey to determine the probable distribution and nature of archeological sites in a large (over 2,000 square mile) rural area.

Although stimulated by proposed flood control construction projects of the U.S. Army Corps of Engineers, similar techniques could be applied to the study of the archeology of a rural county or other substantial land area. The project was not a comprehensive survey; instead it focussed specifically on prehistoric archeology, guided by an explicit research design. Several aspects of the Cache River Project are discussed in Schiffer's and Gummerman's *Conservation Archeology* (see General References below).

College Hill Demonstration Study. (Providence, RI: City Planning Commission in cooperation with the Providence Preservation Society and the Department of Housing and Urban Development, 1967).

One of the earliest comprehensive plans for renewal of a historic area based on a survey; served as the model for many subsequent surveys. Includes excellent sections on the area's historic architecture and on the city's development. Careful analysis of the physical, social, and economic characteristics of the area provides the basis for general and detailed proposals. Numerical evaluation system has also been a model for others; scope and timetable of overall renewal program are developed and detailed. Design proposals seem outdated, but do not mitigate the historical importance of this study.

Cultural Resources in Massachusetts: A Model for Management. Massachusetts Historical Commission.

Washington, DC: U.S. Department of the Interior, 1979.

The first comprehensive State Historic Preservation Plan developed along the lines advocated by the National Park Service in its Resource Protection Planning Process (RP3), and still among the most available examples of such a plan. It provides a description of methodology and orientation, an overview of the State's history leading to the establishment of historic contexts (*study units*), an evaluation of the levels of existing knowledge concerning different classes of resources, and of patterns of their destruction, leading to the identification of needs for policy changes and the establishment of preservation priorities.

Cultural Resources Management Plan for Killens Pond State Park, by Cara L. Wise (Dover, DE: Delaware Division of Parks and Recreation, 1984).

This brief publication is a good example of a simple plan for the protection of historic (in this case all archeological) resources in a lightly developed recreation area of modest size. The plan is based on an intensive survey of the park, which is reported in the publication. The plan outlines priorities for preservation in place and prescribes a series of decisionmaking steps to be followed in the event a project is planned that might disturb an archeological site. It goes on to set forth a modest interpretive plan including preparation of a flyer and additions to a nature trail.

Green Springs, Louisa County, Virginia: A Land Use Study. Meade Palmer (Warrenton, VA: 1973).

A land use plan for a rural historic area. Includes a brief section on the community's historical development, landscape character, and its visual and architectural character. But focusses primarily on a survey of the physical character of the land (geology, soils, hydrology, etc.) as these suggest parameters for future development.

Hampton: An Archeological and Historical Overview of a Proposed Strip Mine Tract in South Central Arkansas. T.C. Klinger, assembler. (Fayetteville, AR: Arkansas Archeological Survey Research Report 19, 1979).

An example of the use of archival research, interviews with local residents and artifact collectors, and very small-scale field reconnaissance to develop initial predictions about the nature and distributions of historic properties in a rural area of about 36,000 acres. Although the study was motivated by an impending coal surface mine, the approach would be applied in other circumstances involving areas of similar scale and type. See also *Settlement Predictions in Sparta* below.

Historic and Archeological Resources of the Boston Area. (Boston: Massachusetts Historical Commission, 1982).

A follow-up study to the Massachusetts *Model for Management* (see above), this study focuses on Boston and its hinterland. It is comprehensive in that both the existing built environment and subsurface archeological resources are examined in all the communities of the area, using archival research and compilation of data from numerous surveys of particular areas. General locations in which different kinds of historic properties representing different aspects of the area's prehistory and history are likely to be found are identified. Generalizations are offered about the patterns of property survival that characterize urban core areas versus peripheries. Recommendations are largely directed to the Massachusetts Historical Commission itself, involving survey and registration priorities, but some recommendations are offered for management of particular areas and kinds of resources in particular political subdivisions. The approach is strongly research-oriented, as it is designed to guide the Commission's survey efforts; as a general management document, it seems to give too short shrift to the social and humanistic value of historic properties. This emphasis does not detract from its value, however, as an example of how archival and partial survey data on a large, dynamic urban area can be organized to provide structure to an ongoing survey effort.

Historic and Architectural Conservation Element. (San Luis Obispo, CA: City of San Luis Obispo, n.d.).

This plan, an official element of the city's general plan, presents the developmental history of the city, and organizes a discussion of the city's urban environment around the architectural styles represented there. It identifies critical structures and general areas of conservation concern. It analyzes potential opportunities for and constraints on preservation, and recommends city policies and alternatives.

Historic Richmond, Toward Architectural Preservation. (Richmond, IN: City Planning Commission, 1970).

Publication designed for a community with little preservation activity. Report covers the survey of Richmond's architecture and history and includes a survey of resident and tourist attitudes. It also outlines the range of preservation activities available to the community and recommends which of these should be undertaken. Report also includes good section on legal controls for preservation purposes.

Historic Survey and Appendix. (San Antonio, TX: City Planning Department, 1972).

Primarily a visual study intended to stimulate greater awareness of visual quality of the city. Extensive use of photography: shots of single buildings, details, and streets. Appendix explains survey methodology, cataloguing and use of data-index cards and maps, and evaluation system. Broad survey criteria include

natural and archeological objects as well as buildings. Appendix also includes comprehensive section entitled "Historic Preservation and the Law for San Antonio," which traces the effect of Federal, State, and municipal laws that relate to preservation concerns and the amount of latitude these laws allow.

Lancaster's Heritage. (Lancaster, PA: Lancaster County Planning Commission, 1972).

This study is an example of preservation at the county level. Study clearly defines the reasons for preservation, presents Federal, State, and local preservation activities, and includes selected examples from a county-wide inventory of historic sites. Good summaries of legal controls and education efforts. Chapter 7 emphasizes the importance of area preservation, and identifies four kinds of areas: major significance areas, significant areas, interest areas, and large rural historic areas. Final chapter defines need for county-wide program to encourage rural and community preservation. Goals suggested for planning commission include the development of zoning ordinances, restructured tax systems, and environmental review procedures.

Marshall, A Plan for Preservation. (Marshall, MI: Marshall Historical Society, 1973).

Publication of the results of a community architectural survey. An explanation of local architectural styles and the methodology of the survey are emphasized. Based on the survey, *treatment areas* are suggested and long and short range activities for community preservation are recommended. The book is outstanding for its graphic quality.

Our Lasting Heritage: An Historical and Archeological Preservation Plan for Central Solano County. (Solano County, CA: Central Solano County Cultural Heritage Commission, 1977).

An example of a plan for a largely agricultural county, addressing both architectural and archeological resources, developed largely by local people with professional assistance. Based on partial survey data, the plan organizes information on known historic properties with reference to chronological periods from the *Indian Presence* through *Recent History* and describes the known resources of different cities and parts of the county. It goes on to present an *action program* for the Cultural Heritage Commission that emphasizes public education, regulation of development, and research.

Pioneer Square Historic District Plan. (Seattle, WA: Office of Urban Conservation, 1974).

Sophisticated study of recognized historic commercial district. Careful analysis of the existing urban setting, space use, parking, traffic, transportation, resident population, and housing provides the basis for

development proposals. Communications guidelines and project specifications for continued redevelopment of the area are also included.

A Plan for Historic Preservation in Denver. Robert Carper. (Denver, CO: Denver Planning Office, 1974).

This series of publications covers a comprehensive program for municipal preservation activities. The plan itself is intended for use by various councils, commissions, agencies, and citizens' groups. Besides explaining inventory criteria, the publication includes sections on preservation at national, State, and local levels, preservation philosophy, various kinds of preservation legislation, ordinances, and preservation financing; and outlines methods used to accomplish preservation objectives. Appendices include an "Inventory of Denver Architecture," "Survey Manual," "Procedural Manual," and "Project Record."

Prehistoric Resources in East-Central New England: A Preliminary Predictive Study. D. F. Dincauze and J. Meyer. (Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Archeological Services, 1976).

A regional overview based on background research into prehistoric environments, documentation of known prehistoric site distributions, ethnographic settlement patterns, and so forth. Projections of possible differential sensitivity areas are made, and the impacts of past, current, and probable future programs of land modification are discussed. State laws and programs are analyzed for effectiveness in dealing with such impacts, and recommendations are offered.

Preservation and Rehabilitation of a Historic Commercial Area: A Demonstration Study of a Waterfront Historic District. (New Bedford, MA: New Bedford Development Authority in cooperation with the New Bedford City Planning Department and the Waterfront Historic Area League, 1967).

One of the first comprehensive design plans based on analysis of the area's existing physical and historic character. Includes summary of area's historic development, background information on historic preservation, statement of goals, specific design recommendations and development standards, summary of methods of implementation, and analysis of relative costs and benefits.

Preservation Plan, Lowell, Massachusetts. (Lowell: Lowell Historic Preservation Commission, 1980).

An example of a plan for a small city with major historical interpretive opportunities, in this case, the Local Historic Preservation District, being developed by the National Park Service for interpretation of the Industrial Revolution in the 19th century. The major strength of this plan lies in the way it shows how park interpretive development can be integrated with and made supportive of community development and

the maintenance of social and architectural integrity. The plan promotes incentives for maintenance and rehabilitation of buildings in and around areas to be interpreted, and active involvement of the community in all aspects of the interpretive program.

Riverfront Development Plan and Historic Preservation Plan. (Jefferson City, MO: Planning and Zoning Commission, 1970).

Planning study includes history and analysis of development potential of riverfront areas. Historic district proposed (and copy of ordinance included) based on initial identification of historic sites and areas. Best section, however, includes analysis, recommendations, and proposals for revitalizing riverfront area; techniques discussed include acquisition of easements.

The Russell Wright Report. (Alexandria, VA: Department of Planning and Regional Affairs, 1970).

The complete explanation of rating system used in evaluating the architectural significance of buildings in historic Alexandria, and in developing priorities for preserving them.

Sacramento "Old City": A Preservation Program. (Sacramento, CA: Sacramento Historic Structures Advisory Commission, 1974).

Prepared before substantial survey had been undertaken, this plan establishes goals and objectives for the city historic preservation program, and recommends actions to facilitate survey, registration, and a wide variety of protective activities and incentives to rehabilitation.

Salem, Massachusetts, Historic Area Study. (Salem, MA: Salem Planning Board and Massachusetts Department of Commerce, 1963).

One of a series of eight reports of a community's comprehensive planning programs, this report traces the development of the area, maps buildings by style, evaluates their quality, and defines potential conservation areas. The report also includes a general land use and circulation plan, makes specific recommendations with regard to the regulation of historic districts, and outlines development options in the historic areas (which are covered in greater detail in some of the other reports).

The Sautee and Nacoochee Valleys: A Preservation Study, by Allen D. Stovall, ASLA. (Sautee-Nacoochee, GA: Sautee-Nacoochee Community Association, 1982).

This award-winning study approaches the historic resources of two rural Georgia valleys from a comprehensive standpoint guided by the principles of landscape architecture. Archival and field data on archeology, history, architecture, land use, scenic

qualities, and natural resources are systematically organized and combined to provide a composite picture of the valleys' cultural values. Threats to their integrity and legal and financial opportunities for control of threats are carefully analyzed. Extensive community involvement in the study is documented. A comprehensive and detailed preservation plan is the result, containing both general and specific recommendations for actions by individuals and by local, county, and State governments to restrain development and ensure that it is compatible with the historic and cultural character of the two valleys.

Settlement Predictions in Sparta, by R.H. Lafferty III and others. (Fayetteville, AR: Arkansas Archeological Survey Research Series No. 14, 1981).

A follow-up study to the *Hampton* report (see above), this publication documents further archival research and a 10% sample field reconnaissance, resulting in a sophisticated prediction of the distribution of historic properties of different types throughout the 36,000 acres study area.

Southampton Village: Planning for Preservation. (New York: Buckhurst Fish Hutton Katz for Southampton Association, 1983).

This is an example of a plan developed by a concerned community organization in response to perceived threats. The Southampton Association was concerned about a proposed master plan that called for substantial expansion of retail marketing in certain historic areas of the community, and arranged for development of a preservation plan to analyze alternatives. The plan summarizes the community's historical development, describes historic and existing patterns of land use, discusses the particular issues for historic preservation raised by the master plan, and offers recommendations for economically viable alternatives that will preserve historic properties, architectural design qualities, farmland, open space, and beach access.

The Southern Santa Clara Valley: A General Plan for Archeology. T.F. King and P.P. Hickman. (San Francisco: A.E. Treganza Anthropology Museum, San Francisco State University, 1973).

A regional archeological study designed to assess the indirect impacts of a large water importation project. Background research and sample fieldwork permitted the prediction of zones of differential sensitivity for prehistoric sites, and a more general discussion of historic properties. Pertinent Federal and State laws, and the general plans of local counties and cities are analyzed, leading to recommendations for planning actions to protect all kinds of archeological properties. A summary discussion of the project is provided in Schiffer's and Gummerman's *Conservation Archeology* (see General Sources below).

The Tulsa Historic Preservation Plan Report. (Tulsa, OK: Tulsa Historic Preservation Office, 1980)

Based on architectural surveys, this plan identifies 17 historic preservation areas in the city, and prescribes achievable preservation *targets* and policies for achieving them. It outlines legal and financial implementation tools applicable to each.

Urban Design and Historic Preservation for Columbia. (Columbia, SC: Central Midlands Regional Planning Council and the City of Columbia, 1974).

Study explaining and illustrating proposed designs for selected historic areas of the city. Emphasis is on linking several discrete areas through use of improved landscaping, street furniture, etc., on the connecting streets.

Urban Design Plan. (San Francisco, CA: San Francisco Department of City Planning, 1972).

This plan was prepared as a result of a 2-year study by the Department of City Planning as part of a master plan to guide public and private development as it affects the design of the city. Based on studies by varied consultants, resident polls, and other planning studies, four topics were selected as important: city pattern, conservation, major new development, and neighborhood environment. Each of these receives in-depth study in this publication, based on a review of human needs, a statement of an overall objective, a description of fundamental principles, and formulation of policies. Sections of principles and policies could provide models for other communities.

The Urban Design Plan, Historic Hill, Newport, Rhode Island. (Newport, RI: Redevelopment Agency of the City of Newport, 1971).

Presentation of a detailed plan for an historic city center based on thorough survey and analysis of the city's architecture, public spaces, roads, signs, etc. Consideration of land and building uses, architectural and historical significance, and structural conditions provided further basis for design proposals. Good statements of preservation and development objectives and design criteria are included, as well as maps and sketches for individual areas and properties.

Vieux Carré Historic District Demonstration Study. Vols. 1-7. (New Orleans, LA: Bureau of Government Research for the City of New Orleans, 1968).

Extremely thorough study in seven volumes. The plan and program for the preservation of the Vieux Carré is supplemented by a series of more technical publications: (1) Environmental Survey, (2) Legal and Administrative Report, (3) Economic and Social Study, (4) Vieux Carré—its plan, its growth, and its architecture, (5) Central Business District Traffic Study, (6) Evaluation of the Effects of the Proposed Riverfront Expressway. The main plan and program include a

brief review of Volume d, the history of architecture of the Vieux Carré.

Woodbury, Connecticut, A New England Townscape. (Woodbury, CT: Old Woodbury Historical Society, 1975).

Small, handsome study of rural New England town intended to generate local interest in preservation. Discussion of specific aspects of the townscape, amenities, land use, and historic character are based on a community survey. The study also explains the survey itself, summarizes the economics of local preservation, and recommends a program of historical research and cultural rural landscape study.

3. Preservation Tools and Strategies

National Park Service publications (see above for availability).

Secretary of the Interior's Standards and Guidelines for Historical, Architectural, and Archeological Documentation Professional Qualifications Standards. (The above are bound together with the *Secretary of the Interior's Standards and Guidelines for Preservation Planning, Identification, Evaluation, and Registration.*)

Secretary of the Interior's Standards for Rehabilitation and Guidelines for Rehabilitating Historic Buildings.

National Register of Historic Places (36 CFR Part 60).

Secretary of the Interior's Standards for Historic Preservation Projects, with Guidelines for Applying the Standards.

Directory of Historic Preservation Easement Organizations, by Charles E. Fisher, William G. Macrostie, Christopher A. Sowick. Washington, DC: U.S. Department of the Interior, National Park Service, Technical Preservation Services Division, September 1981.

Economics of Revitalization: A Decisionmaking Guide for Local Officials. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, January 1981.

Exterior Cleaning of Historic Masonry Buildings, by Norman R. Weiss. Springfield, VA: National Technical Information Service. NTIS No. PB 85-180818.

Federal Tax Provisions to Encourage Rehabilitation of Historic Buildings: An Assessment of Their Effect.

How to Apply for Certification of State and Local Statutes and Historic Districts. Washington, DC: U.S. Department of the Interior, National Park Service, National Register Bulletin No. 17.

Historic Preservation Certifications Pursuant to the Tax Reform Act of 1976, the Revenue Act of 1978,

the Tax Treatment Extension Act of 1980, and the Economic Recovery Tax Act of 1981 (36 CFR Part 67).

Legal Tools to Preserve Archeological Sites, by Geoffrey M. Gyriscio. In 11593, Fall 1980.

Manual for State Historic Preservation Review Boards. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Resources Division, 1984. Preservation Planning Series.

Moving Historic Buildings, by John Obed Curtis. Springfield, VA: National Technical Information Service, 1979. NTIS No. PB 85-180792.

New Directions in Rural Preservation, Robert E. Stipe, ed. Washington, DC: U.S. Department of the Interior, 1980. Preservation Planning Series.

Preservation Briefs:

The Cleaning and Waterproof Coating of Masonry Buildings. Preservation Brief No. 1.

Repointing Mortar Joints in Historic Brick Buildings. Preservation Brief No. 2.

Conserving Energy in Historic Buildings. Preservation Brief No. 3.

Roofing for Historic Buildings. Preservation Brief No. 4.

The Preservation of Historic Adobe Buildings. Preservation Brief No. 5.

Dangers of Abrasive Cleaning to Historic Buildings. Preservation Brief No. 6.

The Preservation of Historic Glazed Architectural Terra-Cotta. Preservation Brief No. 7.

Aluminum and Vinyl Siding on Historic Buildings. Preservation Brief No. 8.

The Repair of Historic Wooden Windows. Preservation Brief No. 9.

Exterior Paint Problems on Historic Woodwork. Preservation Brief No. 10.

Rehabilitating Historic Storefronts. Preservation Brief No. 11.

Metals in America's Historic Buildings: Uses and Preservation Methods, by Margot Gayle, David W. Look, and John G. Waite. Washington, DC: U.S. Department of the Interior, National Park Service, Technical Preservation Services Division, 1978. GPO Stock No. 024-016-00094-3.

Advisory Council publications (see above for availability).

Assessing the Energy Conservation Benefits of Historic Preservation: Methods and Examples. Washington,

DC: Advisory Council on Historic Preservation, January 1979.

The Contribution of Historic Preservation to Urban Revitalization. Washington, DC: Advisory Council on Historic Preservation, January 1979.

Section 106 Update/3: Manual of Mitigation Measures (MOMM). Washington, DC: Advisory Council on Historic Preservation, October 1982.

Remember the Neighborhoods. Washington, DC: Advisory Council on Historic Preservation, March 1981.

Where to Look: A Guide to Preservation Information. Washington, DC: Advisory Council on Historic Preservation, July 1982. GPO Stock No. 052-003-00879-3.

Federal Tax Law and Historic Preservation: A Report to the President and the Congress. Washington, DC: Advisory Council on Historic Preservation, November 1983.

Treatment of Archeological Properties. Washington, DC: Advisory Council on Historic Preservation, February 1981.

Federal Historic Preservation Case Law. Washington, DC: Advisory Council on Historic Preservation, July 1985. GPO Stock No. 052-003-01000-3.

Publications by others.

American Association for State and Local History. *Directory of Historical Societies and Agencies in the United States and Canada.* Nashville, TN: American Association for State and Local History, eleventh edition, 1978.

American Institute of Architects. *Design Review Boards: A Handbook for Communities.* Washington, DC: American Institute of Architects, 1974.

American Society of Planning Officials/Planning Advisory Service. *Transferable Development Rights.* Chicago: American Society of Planning Officials, 1975.

Andrews, G. E. (ed.) *Tax Incentives for Historic Preservation.* Washington, DC: National Trust for Historic Preservation, The Preservation Press, 1980.

Baldwin, P. (ed.). *Environmental Mediation: An Effective Alternative?* Palo Alto, CA: Resolve Center for Environmental Conflict Resolution, 1978.

Bowles, R.T. *Social Impact Assessment in Small Communities.* Toronto, Ontario: Butterworths, 1981.

Bowsher, Alice Meriwether. *Design Review in Historic Districts.* Washington, DC: The Preservation Press, 1978.

Brenneman, R.L., and S. Bates. *Land Saving Action.* Covelo, CA: Island Press, 1984.

Brennan, "Techniques for Controlling the Surroundings of Historic Sites," 36 *Law and Contemporary Problems* 416, 1971.

Bunnell, E. *Built to Last: A Handbook on Recycling Old Buildings.* Washington, DC: The Preservation Press, 1977.

Burchell, R.W., and D. Listokin. *The Adaptive Reuse Handbook: Procedures to Inventory, Control, Manage and Reemploy Surplus Municipal Properties.* New Brunswick, NJ: Center for Urban Policy Research, 1981.

Chambers, J.H. *Cyclical Maintenance for Historic Buildings.* Washington, DC: U.S. Department of the Interior, 1979.

Coughlin, T. *Easements and Other Legal Techniques to Protect Historic Houses in Private Ownership.* Washington, DC: Historic House Association of America, 1981.

Cantacuzino, S. *New Uses for Old Buildings.* New York: Watson-Guptill, 1975.

_____. *Saving Old Buildings.* London: The Architectural Press, Ltd., 1980.

Carley, M.J., and E.O. Derow. *Social Impact Assessment: A Cross-Disciplinary Guide to the Literature.* London: Policy Studies Institute, 1980.

Dennis, S.R. *Do's and Don'ts in Drafting a Preservation Ordinance.* Washington, DC: National Trust for Historic Preservation, 1982.

Duerksen, C.J. "Local Preservation Law," Chapter 2. *A Handbook on Historic Preservation Law.* Washington, DC: The Conservation Foundation and the National Center for Preservation Law, 1983.

Feilden, B.M. *Conservation of Historic Buildings.* Woburn, MA: Butterworths, 1982.

Flanagan, J. *The Grass Roots Fundraising Book: How to Raise Money in Your Community.* Chicago: Swallow Press, 1977.

Foundation Center. *The Foundation Directory.* New York: The Foundation Center, 1983 (updated periodically).

Goetze, R. *Building Neighborhood Confidence: A Humanistic Strategy for Urban Housing.* Cambridge, MA: Ballinger Publishing Co., 1976.

_____. *Stabilizing Neighborhoods: A Fresh Approach to Housing Dynamics and Perceptions.* Boston: Boston Redevelopment Authority, 1977.

Gurin, M.C. *What Volunteers Should Know for Successful Fund Raising.* Briarcliff Manor, NY: Stein and Day, 1981.

Harrington, B. *Guidelines for Establishing a Local Preservation Revolving Fund*. Albany: Preservation League of New York (Technical Series, No. 4), 1978.

Hester, R.T., Jr. *Planning Neighborhood Space With People*. New York: Van Nostrand Reinhold, 1984.

Hillman, H., and K. Ararbabel. *The Art of Winning Foundation Grants*. New York: Vanguard Press, 1975.

Kent, J., and others. *An Approach to Social Resource Management*. Denver, CO: Foundation for Urban and Neighborhood Development, for Surface Environment and Mining Division, U.S. Department of Agriculture, Forest Service, 1979.

Keune, R.V. *The Historic Preservation Yearbook*. Washington, DC: Adler and Adler, 1985. (Planned as an annual publication, this thick volume includes a great diversity of articles documenting significant policy developments and issues, and providing guidelines and examples dealing with such diverse subjects as nomination of properties to the National Register, development of State legislation, and financial incentives for preservation.)

Kidney, W.C. *Working Places: The Adaptive Use of Industrial Buildings*. Pittsburgh, PA: Ober Park Associates, 1976.

Langenbach, R. *A Future for the Past: The Case for the Conservation and Reuse of Old Buildings in Industrial Communities*. Boston: Massachusetts Department of Community Affairs, 1976.

Lefferts, R. *Getting a Grant in the 1980s: How to Write Successful Grant Proposals*. Englewood Cliffs, NJ: Prentice-Hall, 1982.

Levatino, A.M. *Neighborhood Commercial Revitalization*. Washington, DC: National Association of Housing and Redevelopment Officials, 1978.

Lion, E. *Building Renovation and Recycling*. New York: Wiley Interscience, 1982.

McNulty, R.H., and S.A. Kliment (eds.). *Neighborhood Conservation: A Handbook of Methods and Techniques*. New York: Whitney Library of Design, 1976.

Maddex, D. (ed.) *All About Old Buildings: The Whole Preservation Catalogue*. Washington, DC: National Trust for Historic Preservation, 1985.

Meder-Montgomery, M. *Preservation Easements: A Legal Mechanism for Protecting Cultural Resources*. Denver: Colorado Historical Society, 1984.

Nannen, H. *A Guide to the Financing and Development of Small Restoration Projects*. Hartford, CT: Hartford Architectural Conservancy, 1976.

National Center for Architecture and Urbanism. *Energy Conservation and Solar Energy for Historic Buildings: Guidelines for Appropriate Design*.

Washington, DC: National Center for Architecture and Urbanism, 1981.

National Institute of Building Sciences. *Rehabilitation Guidelines 1980*. Washington, DC: U.S. Department of Housing and Urban Development, 1980.

National Trust for Historic Preservation. *The Brown Book: A Directory of Preservation Information*. Washington, DC: The Preservation Press, 1983.

_____. *Conserve Neighborhoods Notebook*. Washington, DC: The Preservation Press, 1981 (loose-leaf).

_____. *Directory of American Preservation Commissions*. Washington, DC: The Preservation Press, 1981.

_____. *Directory of Historic Preservation Lawyers*. Washington, DC: The Preservation Press, 1984.

_____. *Main Street Revitalization Handbook*. Washington, DC: The Preservation Press, 1977.

_____. *Main Street Training Manual*. Washington, DC: The Preservation Press, 1981.

_____. *Preservation and Conservation: Principles and Practices*. Washington, DC: The Preservation Press, 1981.

Paseltiner, E.K., and D. Tylar (eds.). *Zoning and Historic Preservation: A Survey of Current Zoning Techniques in U.S. Cities to Encourage Historic Preservation*. Chicago: Landmarks Preservation Council of Illinois, 1984.

Phillips, M.B. *Foundation Funding for Historic Preservation*. Albany: Preservation League of New York (Technical Series, No. 3), 1977.

Ramati, R. *How to Save Your Own Street*. Garden City, NY: Dolphin Books, Doubleday, 1981.

Reiner, L.E. *How to Recycle Old Buildings*. New York: McGraw-Hill, 1979.

Rothschild, N., and D. Rockman. "Method in Urban Archeology: The State House Block," in *Archeology in Urban America*. R.S. Dickens, (ed.). New York: Academic Press, 1983.

Salwen, B., S.T. Bridges, and N.A. Rothschild. "The Utility of Small Samples from Historic Sites: Onderdonk, Clinton Avenue, and Van Campen." *Historical Archeology* 15:1:79-94, 1981.

Schuyler, R. L. (ed.) *Archaeological Perspectives on Ethnicity in America, Afro-American and Asian-America Culture History*. Farmingdale: Baywood Publishing Co., 1980.

Shirvani, H. *Urban Design Review: A Guide for Planners*. Chicago: American Planning Association, Planners Press, 1981.

Social Impact Assessment (newsletter). New York: Social Impact Assessment Center and International Association for Impact Assessment (Box 587, Canal Street Station, New York, NY 10013).

Society of Professional Archeologists. *Directory of Professional Archeologists*. Lincoln, NE: Society of Professional Archeologists, issued annually.

Solomon, S. *Neighborhood Transition without Displacement: A Citizens' Handbook*. Washington, DC: National Urban Coalition, 1979.

South, S. *Method and Theory in Historical Archeology*. New York: Academic Press, 1977.

Susskind, L., and A. Weinstein. "Toward a Theory of Environmental Dispute Resolution." *Boston College Environmental Affairs Law Review* 9:2:311-57, 1981.

Talbot, A.R. *Settling Things: Six Case Studies in Environmental Mediation*. Washington, DC: The Conservation Foundation and the Ford Foundation, 1983.

Technical Preservation Services, U.S. Department of the Interior, National Park Service. *Respectful Rehabilitation: Answers to Your Questions About Old Buildings*. Washington, DC: The Preservation Press, 1982.

Tester, F.J., and W. Mykes (eds.). *Social Impact Assessment: Theory, Method, and Practice*. Calgary, Alberta: Detselig Enterprises, 1981.

Urban Land Institute. *Adaptive Use: Development Economics, Process, and Profiles*. Washington, DC: Urban Land Institute, 1978.

U.S. Department of Housing and Urban Development. *Guidelines for Rehabilitating Old Buildings: Principles to Consider When Planning Rehabilitation and New Construction Projects in Older Neighborhoods*. Washington, DC: U.S. Department of Housing and Urban Development, 1976.

_____. *Public/Private Partnerships: Leveraging Your CDBG*. Washington, DC: U.S. Department of Housing and Urban Development, 1984.

_____. *Urban Homesteading Catalogue*. Washington, DC: U.S. Department of Housing and Urban Development, 1977.

U.S. Department of Transportation. *Recycling Historic Railroad Stations: A Citizen's Manual* (with Technical Supplement). Washington, D.C.: U.S. Department of Transportation, 1978.

Waters, J. C. *Maintaining a Sense of Place: A Citizen's Guide to Community Preservation*. Athens: University of Georgia, 1983.

Weiler, C. *Handbook on Reinvestment Displacement: HUD's Role in a New Housing Issue*. Washington, DC: National Association of Neighborhoods, 1978.

Ziegler, A. P., Jr. *Historic Preservation in Inner City Areas: A Manual of Practice*. Pittsburgh, PA: Allegheny Press, 1971 (revised 1974).

Ziegler, A. P., Jr., L. Adler, and W. Kidney. *Revolving Funds for Historic Preservation*. Pittsburgh, PA: Ober Park Associates, 1975.

4. Legal Reference Material

Advisory Council on Historic Preservation. *Federal Historic Preservation Case Law*. Washington, DC: Advisory Council on Historic Preservation, July 1985. GPO Stock No. 052-003-01000-3.

_____. *The National Historic Preservation Act*. Washington, DC: Advisory Council on Historic Preservation, 1984.

_____. *Suggested Guidelines for State Historic Legislation*. Washington, DC: Advisory Council on Historic Preservation, 1972.

American Law Institute. *Model Land Development Code*. Draft No. 2, 1970.

Brenneman, R. *Private Approaches to the Preservation of Open Land*. 1967.

_____. "Techniques for Controlling the Surroundings of Historic Sites." *Law and Contemporary Problems* 36 (1971):416.

_____. "Historic Preservation Case Law." *Wake Forest Law Review* 12 (Spring 1976):227-75.

Costonis, J. J. *Space Adrift: Saving Urban Landmarks through the Chicago Plan*. Urbana: University of Illinois Press, 1974.

Duerksen, C.J. (ed.) *A Handbook on Historic Preservation Law*. Washington, DC: The Conservation Foundation and the National Center for Preservation Law, 1983.

Gray. "Environmental Requirements of Highway and Historic Preservation Legislation." *Catholic University Law Review* 20 (1975):45.

National Trust for Historic Preservation. *Preservation Law Reporter*. Washington, DC: The Preservation Press, periodical.

Pielert, J.H. *Removing Regulatory Restraints to Building Rehabilitation: The Massachusetts Experience*. Washington, DC: U.S. Department of Commerce, National Bureau of Standards, Center for Building Technology, 1981.

Robinson, N.A. (Chairman). *Historic Preservation Law*. New York, NY: Practising Law Institute, Real Estate Law and Practice Course Handbook, 1981, 1982.

_____. *Rehabilitating Historic Properties 1984: Practicing Preservation Law*. New York, NY: Practicing Law Institute, Real Estate Law and Practice Course Handbook Series No. 253, 1984.

Thurber, P., and R. Moyer. *State Enabling Legislation for Local Preservation Commissions*. Washington,

DC: National Trust For Historic Preservation, Preservation Policy Research Paper No. SLP-001, 1984.

"Use of Zoning Restrictions to Restrain Property Owners from Altering or Destroying Historic Landmarks." *Duke Law Journal* (1975):99.

5. Examples of Survey Publications

Benchley, E. *An Overview of the Prehistoric Resources of the Metropolitan St. Louis Area*. Washington, DC: U.S. Department of the Interior, National Park Service, Interagency Archeological Assistance Division, 1976.

Brandywine Conservancy. *Protecting Historic Properties: A Guide to Research and Preservation* (with examples from the Delaware Valley). Chadds Ford, PA: Brandywine Conservancy, 1984.

Cambridge Historical Commission. *Survey of Architectural History of Cambridge*. Vols. 1-5. Cambridge, MA: Cambridge Historical Commission, 1965-1975.

Corbett, M.R. *Splendid Survivors: San Francisco's Downtown Architectural Heritage*. San Francisco: Foundation for San Francisco's Architectural Heritage, 1979.

Delaware Valley Regional Planning Commission. *Inventory of Historic Sites*. PA: Delaware Valley Regional Planning Commission, 1969.

Department of Research and Planning. *Duluth's Legacy, Volume 1: Architecture*. Duluth, MN: Department of Research and Planning, 1974.

Department of Zoning and Planning. *Historical Preservation Inventory*. Saint Joseph, MO: Department of Zoning and Planning, 1972.

Environmental Research Group. *South Philadelphia Historic Sites Survey*. Philadelphia: Philadelphia Landmarks Commission, 1980.

Gaede, R.C., and K.F. Zarney. *Chattanooga: Hamilton County Landmarks Survey & Preservation Plan*. Medina, OH: Townscape, 1977.

Greater Portland Landmarks. *Portland*. Portland, ME: Greater Portland Landmarks, 1973.

Land Clearance for Redevelopment Authority. *Historic Preservation Analysis*. Kansas City, MO: Land Clearance for Redevelopment Authority, 1973.

Landmarks Heritage Preservation Commission. *A Comprehensive Program for Historic Preservation in Omaha*. Omaha, NE: Landmarks Heritage Preservation Commission, 1980.

Maryland Historical Trust. *Inventory of Historic Sites in Calvert County, Charles County, and Saint Mary's County, Maryland*. Annapolis: Maryland Historical Trust, 1980.

Matheson, J., and F.B. Haldman. *Historic Resources in the Fairbanks North Star Borough*. Fairbanks, AK: Fairbanks North Star Borough Planning Department, 1981.

Mathis, M.A. (assembler). *North Carolina Statewide Archeological Survey: An Introduction and Application to Three Highway Projects in Hertford, Wilkes, and Asche Counties*. Raleigh: North Carolina Archeological Council and North Carolina Division of Archives and History, 1979.

Minnesota Historical Society. *Minnesota Statewide Archeological Survey, Summary: 1977-1980*. St. Paul: Minnesota Historical Society, 1981.

Monroe County Historical Commission. *19th Century Buildings of Monroe County*. Monroe County, MI: Monroe County Historical Commission, n.d.

North Carolina Department of Archives and History. *Beaufort, North Carolina*. Raleigh: North Carolina Department of Archives and History, 1970.

Peterson, D. *Petaluma's Architectural Heritage*. Petaluma, CA: City of Petaluma, 1978.

Planning Department. *Historic Preservation Inventory*. Grand Rapid, MI: Planning Department, 1973.

Rhode Island Historic Preservation Commission. *Pawtuxet Village, Cranston and Warwick, Rhode Island*. Providence: Rhode Island Historical Preservation Commission, 1973.

_____. *Special Report*. (a series begun in 1974; many on surveys are now available).

_____. *Warren, Rhode Island*. Providence: Rhode Island Historical Preservation Commission, 1975.

Southeastern Illinois Regional Planning and Development Commission. *Historic, Scenic Guide Map to Southern Illinois*. Harrisburg, IL: Southeastern Illinois Regional Planning and Development Commission, 1968.

Syracuse University School of Architecture. *Architecture Worth Saving: Onondaga County*. Syracuse, NY: Syracuse University School of Architecture, 1964.

Takoma Department of Community Development. *Historic Preservation in Takoma, Washington*. Takoma: Department of Community Development, 1982.

Topeka-Shawnee County Metropolitan Planning Commission. *Remembrances in Wood, Brick, and Stone*. Topeka, KS: Topeka-Shawnee County Metropolitan Planning Commission, 1975.

Urban Aesthetics Commission. *Racine Architectural Survey*. Racine, WI: Urban Aesthetics Commission, 1974.

University of Arizona, College of Architecture. *Barrio Historico*. Tucson: University of Arizona, College of Architecture, 1972.

U.S. Department of Transportation. *A Nation in Motion: Historic American Transportation Sites*. Washington, DC: U.S. Government Printing Office, 1976.

Wacamaw Regional Planning and Development Council. *Environmental, Historical, and Recreational Atlas of the Wacamaw Region*. Georgetown, SC: Wacamaw Regional Planning and Development Council, n.d.

6. General References

Dickens, R.S., Jr. (ed.) *Archeology in Urban America: The Search for Pattern and Process*. New York: Academic Press, 1983.

Fagan, B. M. *In the Beginning*. Boston: Little, Brown, 1972.

Fitch, J. M. *American Building: The Historical Forces that Shaped It*. Vol. 1 (rev. ed.), Boston Houghton Mifflin Co., 1966.

Fleming, J., et al. *Penguin Dictionary of Architecture*. Penguin Books Inc., 1973.

Hale, R. W., Jr. *Methods of Research for the Amateur Historian*. Nashville, TN: American Association for State and Local History, 1969.

King, T.F., P.P. Hickman, and G. Berg. *Anthropology in Historic Preservation: Caring for Culture's Clutter*. New York: Academic Press, Inc., 1977.

McGimsey, C. R. *Public Archeology*, Seminar Press, 1972.

McHargue, G., and M. Roberts. *A Field Guide to Conservation Archeology in North America*. New York: Lippincott, 1977.

McKee, H. J. *Amateur's Guide to Terms Commonly Used in Describing Historic Buildings*. Rochester, NY: Landmarks Society of Western New York, 1970.

National Trust for Historic Preservation. *A Guide to State Historic Preservation Programs*. Washington, DC: The Preservation Press, 1976.

_____. *The Brown Book: A Directory of Preservation Information*. Washington, DC: The Preservation Press, 1983.

Pevsner, N., Fleming, J., and Honour, H. *A Dictionary of Architecture*. New York: Overlook Press, 1976.

Saylor, H. H. *Dictionary of Architecture*. New York: John Wiley and Sons, Inc., 1952.

Schiffer, M., and G. Gummerman. *Conservation Archeology*. New York: Academic Press, 1977.

Smith, M. J. *Heritage Projects: A Practical Guide for Community Preservation Organization*. Lansing MI: Michigan Department of State, History Division, 1975.

South, S. *Method and Theory in Historical Archeology*. New York, Academic Press, 1977.

Talmage, V., and O. Chesler. *The Importance of Small, Surface, and Disturbed Sites as Sources of Archeological Data* (Cultural Resources Management Studies). Washington, DC: U.S. Department of the Interior, National Park Service, 1977.

Thomas, D. H. *Predicting the Past*. NY: Holt, Rinehart and Winston, 1974.

U.S. Department of the Interior, National Park Service, Office of Archeology and Historic Preservation. *The National Register of Historic Places*, 1976. Washington, DC: U.S. Government Printing Office, 1976.

_____. *The National Register of Historic Places*. Vol. II. Washington, DC: U.S. Government Printing Office, 1978.

Whiffen, M. *American Architecture Since 1780: A Guide to the Styles*. Cambridge: MIT Press, 1969.

Williams, N., Jr., E.H. Kellogg, and F.B. Gilbert (eds.). *Readings in Historic Preservation*. New Brunswick, NJ: Center for Urban Policy Research, Rutgers University, 1983.

Wilson, R.L., and G. Loyola (eds.). *Rescue Archeology*. Washington, DC: National Trust for Historic Preservation and Organization of American States, The Preservation Press, 1982.

Ziegler, A.P., Jr., and W.C. Kidney. *Historic Preservation in Small Towns: A Manual of Practice*. Nashville, TN: American Association for State and Local History, 1980.

Appendix V: Contacts

Listed below are major national contacts for aspects of historic preservation survey and planning. For additional contacts, see the National Trust for Historic Preservation's *Brown Book*, the *Directory of Historical Societies and Agencies in the United States and Canada* published by the American Association for State and Local History, and the Society of Professional Archeologists' *Directory of Professional Archeologists* (see Appendix IV).

NATIONAL PARK SERVICE

For the National Register of Historic Places, Historic American Buildings Survey, Historic American Engineering Record, Preservation Assistance Division, Archeological Assistance Division, contact:

Associate Director, Cultural Resources,
Keeper, National Register of Historic Places
National Park Service
P.O. Box 37127
Washington, DC 20013-7127

or one of the regional offices of the National Park Service:

Alaska Regional Office
National Park Service
2525 Gambell Street
Anchorage, Alaska 99503
907-271-4195; FTS 271-4196

Mid-Atlantic Regional Office
National Park Service
143 South Third Street
Philadelphia, Pennsylvania 19106
215-597-7013; FTS 597-7013

Rocky Mountain Regional Office
National Park Service
655 Parfet Street
P.O. Box 25287
Denver, Colorado 80225
303-234-2500; FTS 234-2500

Southeast Regional Office
National Park Service
75 Spring Street, SW
Atlanta, Georgia 30303
404-221-5185; FTS 242-5185

Western Regional Office
National Park Service
450 Golden Gate Avenue
P.O. Box 36063
San Francisco, California 94102
415-556-4196; FTS 556-4196

ADVISORY COUNCIL ON HISTORIC PRESERVATION

Old Post Office Building
1100 Pennsylvania Avenue, NW, Suite 809
Washington, DC 20004

NATIONAL CONFERENCE OF STATE HISTORIC PRESERVATION OFFICERS

Hall of the States
444 North Capitol Street, Suite 332
Washington, DC 20001

STATE HISTORIC PRESERVATION OFFICERS

ALABAMA

State Historic Preservation Officer
Alabama Historical Commission
725 Monroe Street
Montgomery, Alabama 36130
205-261-3184

ALASKA

Chief, Office of History and Archeology
Division of Parks
Pouch 7001
Anchorage, Alaska 99510
907-274-4676

AMERICAN SAMOA

Director, Department of Parks and Recreation
American Samoa Government
P.O. Box 1268
Pago Pago, American Samoa 96799

ARIZONA

Chief, Office of Historic Preservation
Arizona State Parks
1688 West Adams
Phoenix, Arizona 85007
602-255-4174

ARKANSAS

Director, Arkansas Historic Preservation Program
The Heritage Center, Suite 200
225 East Markham
Little Rock, Arkansas 72201
501-371-2763

CALIFORNIA

State Historic Preservation Officer
Office of Historic Preservation
Department of Parks and Recreation
P.O. Box 2390
Sacramento, California 95811
916-445-8006

COLORADO

State Historic Preservation Officer
Colorado Heritage Center
1300 Broadway
Denver, Colorado 80203
303-866-2136

CONNECTICUT

Director, Connecticut Historical Commission
59 South Prospect Street
Hartford, Connecticut 06106
203-566-3005

DELAWARE

Director, Division of Historical and Cultural Affairs
Hall of Records
Dover, Delaware 19901
302-736-5314

DISTRICT OF COLUMBIA

Director, Department of Consumer and Regulatory
Affairs
Suite 1120
614 H Street, NW
Washington, DC 20001
202-727-7120

FLORIDA

Director, Division of Archives, History, and Records
Management
Department of State
The Capitol
Tallahassee, Florida 32301
904-487-2333

GEORGIA

Commissioner, Department of Natural Resources
270 Washington Street SW, Room 704C
Atlanta, Georgia 30334
404-656-2840

GUAM

Director, Department of Parks and Recreation
490 Naval Hospital Road
Agana Heights, Guam 96910
(Overseas Operator) 477-9620/21, ext. 4

HAWAII

State Historic Preservation Officer
Department of Land and Natural Resources
P.O. Box 621
Honolulu, Hawaii 96809
808-548-7460

IDAHO

Historic Preservation Coordinator
Idaho Historic Society
610 North Julia Davis Drive
Boise, Idaho 83706
208-334-2120

ILLINOIS

Director, Illinois Historic Preservation Agency
Old State Capitol
Springfield, Illinois 62701
217-782-4512

INDIANA

Director, Department of Natural Resources
608 State Office Building
Indianapolis, Indiana 46204
317-232-4020

IOWA

Director, Iowa State Historical Department
Office of Historic Preservation
Historical Building
East 12th Street and Grand Avenue
Des Moines, Iowa 50319
515-281-5113 or 3159

KANSAS

Executive Director, Kansas State Historical Society
120 West 10th Street
Topeka, Kansas 66612
913-296-3251

KENTUCKY

State Historic Preservation Officer and
Director, Kentucky Heritage Council
Capitol Plaza Tower, 12th floor
Frankfort, Kentucky 40601
502-564-7005

LOUISIANA

Assistant Secretary, Office of Cultural Development
P.O. Box 44247
Baton Rouge, Louisiana 70804
504-925-3884

MAINE

Director, Maine Historic Preservation Commission
55 Capitol, Station 65
Augusta, Maine 04333
207-289-2133

MARYLAND

State Historic Preservation Officer
John Shaw House
21 State Circle
Annapolis, Maryland 21401
301-269-2851

MASSACHUSETTS

Executive Director, Massachusetts Historical
Commission
80 Boylston Street
Boston, Massachusetts 02116
617-727-8470

MICHIGAN

Director, History Division
Department of State
208 North Capitol Avenue
Lansing, Michigan 48918
517-373-6362

MINNESOTA

Director, Minnesota Historical Society
690 Cedar Street
St. Paul, Minnesota 55101
612-296-2747

MISSISSIPPI

Director, State of Mississippi
Department of Archives and History
P.O. Box 571
Jackson, Mississippi 39205
601-359-1424

MISSOURI

Director, State Department of
Natural Resources
P.O. Box 176
Jefferson City, Missouri 65102
314-751-4422

MONTANA

State Historic Preservation Officer
Montana Historical Society
225 North Roberts Street
Veterans Memorial Building
Helena, Montana 59620
406-444-7715

NEBRASKA

Director, The Nebraska State Historical
Society
PO. Box 82554
Lincoln, Nebraska 68501
402-471-3850; FTS 541-3270

NEVADA

Director, Department of Conservation and
Natural Resources
Nye Building, Room 213
201 South Fall Street
Carson City, Nevada 89710
702-885-4360

NEW HAMPSHIRE

Commissioner, Department of Libraries,
Arts, and Historical Resources
P.O. Box 856, Prescott Park
Concord, New Hampshire 03301
603-271-3438

NEW JERSEY

Commissioner, Department of
Environmental Protection
CN 402
Trenton, New Jersey 08625
609-292-2885

NEW MEXICO

State Historic Preservation Officer
Historic Preservation Division
Office of Cultural Affairs
Villa Rivera, Room 101
228 East Palace Avenue
Santa Fe, New Mexico 87503
505-827-8320

NEW YORK

Commissioner, Office of Parks,
Recreation, and Historic Preservation
Agency Building #1
Empire State Plaza
Albany, New York 12238
518-474-0444

NORTH CAROLINA

Director, Division of Archives
and History
Department of Cultural Resources
109 East Jones Street
Raleigh, North Carolina 27611
919-733-7305

NORTH DAKOTA

Superintendent, State Historical Society of
North Dakota
North Dakota Heritage Center
Bismark, North Dakota 58505
701-224-2667

NORTHERN MARIANA ISLANDS

Historic Preservation Officer
Department of Community and Cultural Affairs
Commonwealth of the Northern Mariana Islands
Saipan, Mariana Islands 96950
(Overseas) Saipan 9772 or 9411

OHIO

State Historic Preservation Officer
Ohio Historic Preservation Office
Ohio Historic Center
1985 Velma Avenue
Columbus, Ohio 43211
614-466-1500

OKLAHOMA

State Historic Preservation Officer
Oklahoma Historical Society
Wyley Post Historical Building
2100 North Lincoln
Oklahoma City, Oklahoma 73105
405-521-2491

OREGON

State Parks Superintendent
525 Trade Street, SE
Salem, Oregon 97310
503-378-5019

PENNSYLVANIA

State Historic Preservation Officer
Pennsylvania Historical and Museum Commission
P.O. Box 1026
Harrisburg, Pennsylvania 17108
717-787-2891

COMMONWEALTH OF PUERTO RICO

State Historic Preservation Officer
Box 82, La Fortaleza
San Juan, Puerto Rico 00901
809-721-4389

RHODE ISLAND

State Historic Preservation Officer
Historical Preservation Commission
150 Benefit Street
Providence, Rhode Island 02903
401-277-2678

SOUTH CAROLINA

Director, Department of Archives and History
1430 Senate Street
Columbia, South Carolina 29211
803-758-5816

SOUTH DAKOTA

State Historic Preservation Officer
Historical Preservation Center
P.O. Box 417
Vermillion, South Dakota 57069
605-773-3458

TENNESSEE

State Historic Preservation Officer
Department of Conservation
701 Broadway
Nashville, Tennessee 37203
615-741-2301

TEXAS

Executive Director, Texas State Historical Commission
P.O. Box 12276, Capitol Station
Austin, Texas 78711
512-475-3092

TRUST TERRITORY OF THE PACIFIC ISLANDS

Acting State Historic Preservation Officer,
Land Resources Branch
Department of Resources and Development
Trust Territory of the Pacific Islands
Saipan, Mariana Islands 96950

UTAH

State Historic Preservation Officer
Utah State Historical Society
300 Rio Grande
Salt Lake City, Utah 84101
801-533-7039

VERMONT

Secretary, Agency of Development and
Community Affairs
Pavillion Office Building
Montpelier, Vermont 05602
802-828-3211

VIRGINIA

State Historic Preservation Officer
Division of Historic Landmarks, Department of
Conservation and Historic Resources
221 Governor Street
Richmond, Virginia 23219
804-786-3143

VIRGIN ISLANDS

State Historic Preservation Officer
P.O. Box 3088
St. Croix, Virgin Islands 00820
809-773-1082 or 809-774-1730

WASHINGTON

State Historic Preservation Officer
111 West 21st Avenue
KL-11
Olympia, Washington 98504
206-753-4011

WEST VIRGINIA

Commissioner, Department of Culture and History
State Capitol Complex
Charleston, West Virginia 25304
304-348-0220

WISCONSIN

State Historic Preservation Officer
State Historical Society of Wisconsin
816 State Street
Madison, Wisconsin 53706
608-262-3266

WYOMING

Director, Wyoming State Archives,
Museums, and Historical Department
Barrett Building, 2301 Central Avenue
Cheyenne, Wyoming 82002
307-777-7697

LOCAL HISTORIC PRESERVATION COMMISSIONS

For information on local historic preservation commission and agencies, and those States where State alliances of historic preservation commissions have formed, contact:

National Alliance of Historic Preservation Commissions
Hall of the States
444 North Capitol Street, Suite 332
Washington, DC 20001
(shares offices with the National Conference)

FEDERAL AGENCY HISTORIC PRESERVATION OFFICERS

Section 110(c) of the National Historic Preservation Act directs all Federal agencies to appoint *agency preservation officers*. These officials are good contacts for information about particular agency programs in historic preservation, and about agency projects that may affect historic properties.

For a current listing of agency preservation officers, contact the Advisory Council on Historic Preservation (see above).

NATIONAL TRUST FOR HISTORIC PRESERVATION

The National Trust for Historic Preservation is a federally chartered nationwide membership organization that provides a wide variety of preservation services. For information contact:

National Trust for Historic Preservation
1785 Massachusetts Avenue, NW
Washington, DC 20036

Appendix VI: Data Categories Used in the National Register Information System

FUNCTIONS AND USES

(CATEGORY/subcategory)	(examples)
DOMESTIC	
single dwelling	rowhouse, mansion, residence, rockshelter, homestead, cave
multiple dwelling	duplex, apartment building, pueblo, rockshelter, cave
secondary structure	dairy, smokehouse, storage pit, storage shed, kitchen, garage, other dependencies
hotel	inn, hotel, motel, way station
institutional housing	military quarters, staff housing, poor house, orphanage
camp	hunting campsite, fishing camp, summer camp, forestry camp, seasonal residence, temporary habitation site, tipi rings
village site	pueblo group
COMMERCE/TRADE	
business	office building
professional	architect's studio, engineering office, law office
organizational	trade union, labor union, professional association
financial institution	savings and loan association, bank, stock exchange
specialty store	auto showroom, bakery, clothing store, blacksmith shop, hardware store
department store	general store, department store, marketplace, trading post
restaurant	cafe, bar, roadhouse, tavern
warehouse	warehouse, commercial storage, storage pit
trade (archeology)	cache, sites with evidence of trade
SOCIAL	
meeting hall	grange; union hall; Pioneer hall; hall of other fraternal, patriotic, or political organization
clubhouse	facility of literary, social, or garden club
civic	facility of volunteer or public service organization such as the American Red Cross
GOVERNMENT	
capitol	statehouse, assembly building
city hall	city hall, town hall
correctional facility	police station, jail, prison
fire station	firehouse
government office	municipal building
diplomatic building	embassy, consulate
custom house	customhouse
post office	post office
public works	electric generating plant, sewer system
courthouse	county courthouse, Federal courthouse
EDUCATION	
school	schoolhouse, academy, secondary school, grammar school, trade or technical school
college	university, college, junior college
library	library
research facility	laboratory, observatory, planetarium
education-related housing	college dormitory, housing at boarding schools

RELIGION

religious structure	church, temple, synagogue, cathedral, mission, temple mound, sweat-house, kiva, dance court, shrine
ceremonial site	astronomical observation post, intaglio, petroglyph site
church school	religious academy or school
church-related residence	parsonage, convent, rectory

FUNERARY

cemetery	burying ground, burial site, cemetery, ossuary
graves/burials	burial cache, burial mound, grave
mortuary	mortuary site, funeral home, cremation area, crematorium

RECREATION AND CULTURE

theater	cinema, movie theater, playhouse
auditorium	hall, auditorium
museum	museum, art gallery, exhibition hall
music facility	concert hall, opera house, bandstand, dance hall
sports facility	gymnasium, swimming pool, tennis court, playing field, stadium
outdoor recreation	park, campground, picnic area, hiking trail
fair	amusement park, county fairground
work of art	sculpture, carving, statue, mural, rock art
monument/marker	commemorative marker, commemorative monument

AGRICULTURE/SUBSISTENCE

processing	meatpacking plant, cannery, smokehouse, brewery, winery, food processing site, gathering site, tobacco shed
storage	granary, silo, wine cellar, storage site, tobacco warehouse, cotton warehouse
agricultural field	pasture, vineyard, orchard, wheat field, crop marks, stone alignments, terrace, hedgerow
animal facility	hunting and kill site, stockyard, barn, chicken coop, hunting corral, hunting run, apiary
fishing facility or site	fish hatchery, fishing grounds
horticultural facility	greenhouse, plant observatory, garden
agricultural outbuilding	well house, wagon shed, tool shed
irrigation facility	irrigation system, canal, stone alignments, headgate, check dam

INDUSTRY/PROCESSING/EXTRACTION

manufacturing facility	mill, factory, refinery, processing plant, pottery kiln
processing site	shell processing site, toolmaking site, copper mining and processing site
extractive facility	coal mine, oil derrick, gold dredge, quarry, salt mine
waterworks	reservoir, water tower, canal, dam
energy facility	windmill, power plant, hydroelectric dam
communications facility	telegraph cable station, printing plant, television station, telephone company facility, satellite tracking station

HEALTH CARE

hospital

veteran's medical center, mental hospital, private or public hospital, medical research facility

clinic

dispensary, doctors' office

sanitarium

nursing home, rest home, sanitarium

medical business/office

pharmacy, medical supply store, doctor's or dentist's office

resort

bath, spa, resort facility

DEFENSE

arms storage

magazine, armory

fortification

fortified military or naval post, earth fortified village, palisaded village, fortified knoll or mountain top, battery, bunker

military facility

military post, supply depot, garrison fort, barrack, military camp

battle site

battlefield

coast guard facility

lighthouse, coast guard station, pier, dock, life-saving station

naval facility

submarine, aircraft carrier, battleship, naval base

air facility

aircraft, air base, missile launching site

LANDSCAPE

parking lot

city park, State park, national park

park

square, green, plaza, public common

plaza

garden

forest

unoccupied land

meadow, swamp, desert

natural feature

mountain, valley, promontory, tree, river, island, pond, lake

underwater

underwater site

street furniture/object

street light, fence, wall, shelter, gazebo, park bench

conservation area

wildlife refuge, ecological habitat

TRANSPORTATION

rail-related

railroad, train depot, locomotive, streetcar line, railroad bridge

air-related

aircraft, airplane hangar, airport, launching site

water-related

lighthouse, navigational aid, canal, boat, ship, wharf, shipwreck

road-related (vehicular)

parkway, highway, bridge, toll gate, parking garage

pedestrian-related

boardwalk, walkway, trail

WORK IN PROGRESS

UNKNOWN

VACANT/NOT IN USE

storage facility not related to domestic or commercial uses

OTHER

ARCHITECTURAL CLASSIFICATION

(CATEGORY/subcategory)

(Other stylistic terminology)

COLONIAL

French Colonial
Spanish Colonial
Dutch Colonial
Postmedieval English

Mexican Baroque
Flemish Colonial
English Gothic; Elizabethan; Tudor; Jacobean or Jacobethan; New England Colonial; Southern Colonial

Georgian

EARLY REPUBLIC

Early Classical Revival

Jeffersonian Classicism; Roman Republican; Roman Revival; Roman Villa; Monumental Classicism; Regency

Federal

Adams or Adamesque

MID-19TH CENTURY

Early Romanesque Revival

Greek Revival

Gothic Revival

Early Gothic Revival

Italian Villa

Exotic Revival

Egyptian Revival; Moorish Revival

Octagon Mode

LATE VICTORIAN

Gothic

Victorian or High Victorian Eclectic

Italianate

High Victorian Gothic; Second Gothic Revival

Second Empire

Victorian or High Victorian Italianate

Queen Anne

Mansard

Stick/Eastlake

Queen Anne Revival; Queen Anne-Eastlake

Shingle Style

Eastern Stick; High Victorian Eastlake

Romanesque

Romanesque Revival; Richardsonian Romanesque

Renaissance

Renaissance Revival; Romano-Tuscan Mode North Italian or Italian Renaissance; French Renaissance; Second Renaissance Revival

LATE 19TH AND 20TH CENTURY REVIVALS

Beaux Arts

Beaux Arts Classicism

Colonial Revival

Georgian Revival

Classical Revival

Neo-Classical Revival

Tudor Revival

Jacobean or Jacobethan Revival; Elizabethan Revival

Late Gothic Revival

Collegiate Gothic

Mission/Spanish

Spanish Revival; Mediterranean Revival

Colonial Revival

Italian Renaissance

French Renaissance

Pueblo

LATE 19TH AND EARLY 20TH CENTURY AMERICAN MOVEMENTS

Prairie School

Sullivanese

Commercial Style

Chicago

Skyscraper

Bungalow/Craftsman

Western Stick; Bungalowoid

MODERN MOVEMENT

Moderne
International Style
Art Deco

New Formalism; Neo-Expressionism; Brutalism; California Style or Ranch Style; Post-Modern; Wrightian

Modernistic; Streamlined Moderne; Art Moderne
Miesian

OTHER

MIXED

More than two styles from different periods

MATERIALS

(CATEGORY/subcategory)

EARTH

WOOD

Weatherboard
Shingle
Log

BRICK

STONE

Granite
Sandstone (including brownstone)
Limestone
Marble
Slate

METAL

Iron
Copper
Bronze
Tin
Aluminum
Steel
Lead
Nickel

STUCCO

TERRA COTTA

ASPHALT

ASBESTOS

CONCRETE

ADOBE

CERAMIC TILE

GLASS

CLOTH/CANVAS

SYNTHETICS

Fiber Glass
Vinyl
Rubber
Plastic

OTHER

AREAS OF SIGNIFICANCE

(CATEGORY)	(Definition)
AGRICULTURE	The process and technology of cultivating soil, producing crops, and raising livestock and plants.
ARCHITECTURE	The practical art of designing and constructing buildings and structures to serve human needs.
ARCHEOLOGY	The study of prehistoric and historic cultures through excavation and the analysis of physical remains.
PREHISTORIC	Archeological study of aboriginal cultures before the advent of written records.
HISTORIC— ABORIGINAL	Archeological study of aboriginal cultures after the advent of written records.
HISTORIC— NON-ABORIGINAL	Archeological study of non-aboriginal cultures after the advent of written records.
ART	The creation of painting, printmaking, photography, sculpture, and decorative arts.
COMMERCE	The business of trading goods, services, and commodities.
COMMUNICATIONS	The technology and process of transmitting information.
COMMUNITY PLANNING AND DEVELOPMENT	The practical art of designing and changing the physical structure of communities to enhance the quality of life.
CONSERVATION	The preservation, maintenance, and management of natural or manmade resources.
ECONOMICS	The study of the production, distribution, and consumption of wealth; the management of monetary and other assets.
EDUCATION	The process of conveying or acquiring knowledge or skills through systematic instruction, training, or study.
ENGINEERING	The practical application of scientific principles to design, construct, and operate equipment, machinery, and structures to serve human needs.
ENTERTAINMENT/ RECREATION	The development and practice of leisure activities for refreshment, diversion, amusement, or sport.
ETHNIC HERITAGE	The history of persons having a common ethnic or racial identity.
ASIAN	The history of persons having origins in the Far East, Southeast Asia, or the Indian subcontinent.
BLACK	The history of persons having origins in any of the black racial groups of Africa.
EUROPEAN	The history of persons having origins in Europe.
HISPANIC	The history of persons having origins in the Spanish-speaking areas of the Caribbean, Mexico, Central America, and South America.
NATIVE AMERICAN	The history of persons having origins in any of the original peoples of North America, including American Indian and Alaskan Eskimo cultural groups.
PACIFIC ISLANDER	The history of persons having origins in the Pacific Islands, including Polynesia, Micronesia, and Melanesia.
OTHER	The history of persons having origins in other parts of the world, such as the Middle East or North Africa.
EXPLORATION/ SETTLEMENT	The investigation of unknown or little known regions; the establishment and earliest development of new settlements or communities.
HEALTH/MEDICINE	The care of the sick, disabled, and handicapped; the promotion of health and hygiene.

INDUSTRY	The technology and process of managing materials, labor, and equipment to produce goods and services.
INVENTION	The art of originating by experiment or ingenuity an object, system, or concept of practical value.
LANDSCAPE ARCHITECTURE	The practical art of designing or changing land, bodies of water, and natural elements to enhance the physical environment.
LAW	The interpretation and enforcement of society's legal code.
LITERATURE	The creation of prose and poetry.
MARITIME HISTORY	The history of the exploration, fishing, navigation, and use of inland, coastal, and deepsea waters.
MILITARY	The system of defending the territory and sovereignty of a people.
PERFORMING ARTS	The creation of drama, dance, and music.
PHILOSOPHY	The theoretical study of thought, knowledge, and the nature of the universe.
POLITICS/GOVERNMENT	The enactment and administration of laws by which a Nation, State, or other political jurisdiction is governed; activities related to political process.
RELIGION	The organized system of beliefs, practices, and traditions regarding human's relationship to perceived supernatural forces.
SCIENCE	The systematic study of natural law and phenomena.
SOCIAL HISTORY	The history of efforts to promote the welfare of society; the history of society and the lifeways of its social groups.
TRANSPORTATION	The process and technology of conveying passengers or materials.
OTHER	Any area not covered by the above categories.

Index

- Advisory Council on Historic Preservation, 99
 - procedures, 5
- Amtrak Improvement Act of 1974, 77
- Antiquities Act of 1906, 77
- Aerial photographs, 31, 32, 40
- Archaeological definitions
 - buildings and structures, 72
 - districts, 73
 - sites, 73
- Archaeological districts, 44
- Archaeological and Historic Preservation Act of 1974, 77
- Archaeological Resources Protection Act of 1979, 77
- Archaeological surveys, 36, 39, 71
- Architectural recording, 65
- Architectural classification, 107–108
- Bibliography, 85–98**
- Budget, 21
- Catalogue, 57, 58–59
- Certified local governments, 7, 78
- Charitable contributions, 64
- Community historic preservation
 - office/commission, 78, 102
- Comprehensive statewide historic preservation plan. *See* Preservation plan.
- Comprehensive survey, 1, 68
- Consultants, where to find, 19, 32
- Contracts, 84
- Cost of survey, 27
- Data recovery, 68**
- Data retrieval systems, 57
- Definitions
 - resource types, 1
 - contributing and noncontributing resources, 45
- Department of Transportation Act of 1966, 77
- Description of properties, 42–45
 - archeological sites, 43
 - buildings, structures, and objects, 42
 - historic districts, 43
 - historic sites, 43
- Determinations of eligibility
 - guidelines for documentation to accompany requests for, 46
- Easements, 79–80
- Eligibility for the National Register, 5
- Emergency Home Purchase Assistance Act of 1974, 77
- Engineering records, 65
- Equipment needed for survey, 50
- Evaluation, 2
 - Secretary of the Interior's Standards*, 4, 55
- Evaluation of resources, 54, 62
 - evaluation systems, 55–56
 - use of professionals in, 55
- Field survey, 35**
- Financial tools, *See* Funding.
- Funding, 27, 64
 - community development block grants, 27, 83
 - grants-in-aid, 27, 83
 - National Historic Preservation Fund, 27, 83
 - revolving funds, 64, 83
- Geographical data, 46**
 - acreage, 46
 - boundary description, 46
 - maps, 46
- Historic context**
 - definition, 6, 14
 - uses, 28
- Historic districts**
 - descriptions of, defining, 1, 43
 - kinds of:
 - commercial, 44
 - industrial, 44
 - rural, 44
- Historic preservation commissions, 8, 78
- Historic preservation loans, 64, 84
- Historic resource, definition
 - building, 1, 9
 - district, 1, 10
 - object, 1, 10
 - site, 1, 9
 - structure, 1, 10
- Historic resources inventories, 2, 54
- Historic resources surveys
 - value of, 8
 - who should sponsor, 8
- Historical maps, 31
- Historical research
 - correlation with field survey, 28
 - for archeological survey, 36
 - training for, 24–25
- Historical societies, 25
- Housing and Urban Development (HUD), 76
 - community development block grants
- Identification**
 - Secretary of the Interior's Standards*, 4, 12
- Identification of historic resources, 12
 - definition of
- Industrial survey, 10
- Intensive survey
 - definition, 12
 - limitations, 37–40
 - uses of, 61–68
- Interdisciplinary surveys, 18
- Interior, Secretary of the
 - Standards and Guidelines*, 4
- Inventory, definition, 2
 - documentation, 56
 - files, 56
- Legal requirements, 56**
- Legal tools:
 - covenants and reverter clauses, 80
 - easements, 79–80
 - land-use controls, 78, 79, 80–82
 - revolving funds, 64
 - tax advantages, 80–81
 - tax incentives, 64
 - zoning, 79
- Legislation
 - Amtrak Improvement Act of 1974, 77
 - Antiquities Act of 1906, 77
 - Archaeological and Historic Preservation Act of 1974, 77
 - Archaeological Resources Protection Act of 1979, 77
 - Department of Transportation Act of 1977, 77
 - Emergency Home Purchase Assistance Act of 1974, 77
 - Executive Order 11593, 77
 - Housing and Community Development Act of 1974, 76
 - National Environmental Policy Act of 1969, 76
 - National Historic Preservation Act, as amended, 75
 - 1935 Historic Sites Act, 77
 - Public Buildings Cooperative Use Act of 1974, 76
 - Surplus Real Property Act, 76
 - Tax legislation, 75
- Libraries, 33
- Maps**
 - historical Sanborn, 31
 - master, 49, 52
 - sketchmaps, 43, 52
 - Soil Conservation Service, 32, 36
 - USGS, 46, 49
- National Environmental Policy Act of 1969, 76**
- National Historic Preservation Act, as amended, 2, 4, 75**
- National Park Service**
 - Historic American Buildings Survey, 99
 - Historic American Engineering Record, 99
 - Interagency Resources Division, National Register, 99
 - Preservation Assistance Division, 99
 - Regional Offices, addresses of, 99
- National Register, criteria, 5–6
 - definition, 4

- National Register nominations
 - data categories, 46, 104–110
 - multiple property submissions, 2
 - requirements, 46
- National Register Information System, 41, 46, 57
- National Trust for Historic Preservation, 103
- 1935 Historic Sites Act, 77
- Notification of property owners, 56

- On-site orientation, 24
- Oral history, 40

- Personnel for survey
 - archeologists—special considerations, 74
 - disciplines needed, 18, 22
 - fees, 21–22
 - professionals *vs* volunteers, 23–24
 - selection of a professional consultant, 20–21
 - where to find professionals, 19, 32
- Photographs, 46, 50
 - aerial, 31
 - files, 59–60
 - historical, 31
- Predictive survey
 - uses of, 36–37
- Preservation plan
 - definition, 3, 61
 - documentation necessary for, 62
 - uses of, 62, 65–68
- Preservation planning, 61
 - Secretary of the Interior's Standards*, 4

- Professional qualifications
 - archeology, 22
 - architectural history, 22
 - architecture, 22
 - history, 22
 - historical architecture, 22
- Protection
 - of National Register properties, 5, 75
 - of historic resources, 3
- Public Buildings Cooperative Use Act of 1974, 77
- Publications
 - funding for, 70
 - production and distribution of, 70–71
 - purpose of, 69
 - types of, 69–70
- Publicity for survey, 17, 18, 65

- Reconnaissance survey
 - definition, 12
 - limitations, 35–36
 - uses of, 61–68
- Registration
 - Secretary of the Interior's Standards*, 4
- Rehabilitation, 75
- Requirements for National Register
 - registration, 46–47
- Research design, 29
- Review of survey data, 52–56

- Secretary of the Interior's Standards and Guidelines for Archeology and Historic Preservation*, 4, 28
 - evaluation, 4
 - identification, 4
 - preservation planning, 4
 - registration, 4

- Significance
 - definition of, 2
 - evaluation of, 54–55
 - information needed for, 45
- Soil Conservation Service maps, 32, 36
- Sources of funding, 27, 64
- Sources of information for historical research
 - primary sources, 31–32
 - secondary sources, 32–33
- State Historic Preservation Officers
 - list of, 99–102
 - what assistance he or she can provide, 6
 - who he or she is, 6
- Statewide surveys, 32
- Storage of survey documentation, 16, 59
- Surplus Real Property Act, 77
- Survey, definition, 2
 - kind of information required, 11, 13, 41
- Survey coordinator, 18, 52
- Survey data, definition, 2
- Survey forms
 - examples of, 48
 - how to choose, 49
 - review of, 52
 - types, 48
- Surveyors, 23–24

- Tax legislation, 75
- Timetable for survey, 13
- Training of volunteers
 - field survey, 25–27
 - research, 24–25

- Volunteers
 - sources of, 17–18
 - training of, 23

[illegible]

Cat No 23-221



